SUBMITTING FOR EXAMINATION: GUIDANCE FOR RESEARCH DEGREE STUDENTS AND SUPERVISORS

(Updated September 2021)

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

Content:

1.0   WHAT IS THE VIVA VOCE EXAMINATION?

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

For further information, please refer to section 8 of the Academic Regulations for Research Degrees, or in the case of PhD by Published work, section 5 of the Academic Regulations for the award of PhD by Published Work.

2.0   APPOINTMENT OF RESEARCH DEGREE EXAMINERS

Please refer to the Graduate School website 'Submission and Examination' section for details on the forms and criteria, as well as section 9 of the Academic Regulations for Research Degrees

3.0   PREPARATION & PLANNING

a) The Principal Supervisor briefs the Student on what to expect in an oral examination – also known as the viva voce (a 'mock' viva voce can also be held within the Faculty before the agreed date for the oral examination).

b) Student and Principal Supervisor specify the format and method of the examination when, for example, an exhibition of the student's work is required as part of a practice-led submission. If an exhibition of the student's work is required, this must be stated on the application form for appointment of examiners. Similarly, if a journal format thesis will be submitted, this must be stated on the application form for appointment of examiners.

c) Student and Principal Supervisor agree the exact final title of the thesis (or portfolio), to be approved by the University's Graduate School Committee (GSC) when the application form for appointment of examiners is submitted (via the Faculty PGR Committee) to the GSC for approval.

d) Student and Principal Supervisor fully update the student's PGR Development Portfolio (PGRDP), or the student's Training Needs Analysis/Plan, to confirm that all required training and skills development has been completed by the student.

e) Student and Principal Supervisor consider whether the submission requires restricted access and confidentiality in the examination context and after the award has been made. If restricted access is required, this should be requested on the application form for appointment of examiners, with the reason(s) for the restriction clearly stated.

f) Together, the Student and Principal Supervisor work towards a submission date just before the expiry of the student's standard duration date.

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

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

4.0   THE SUBMISSION

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

4.1   What is the submission?

The submission will comprise of one of the following formats.

- The traditional format thesis comprises of a number of chapters, and typically includes a summary, an introduction, chapters describing the aims of the research and a description of the methods used and the theoretical basis underpinning them, and an analysis of the results and conclusions that sets the work in context. The student is the sole author.
- A practice-based thesis allows students to submit a shortened traditional-style thesis supplemented by additional material complemented by a practical component, for example, a portfolio of original compositions, portfolio of creative work, a recital or performance. Apart from the inclusion of practical materials, the thesis itself should conform to the same standards expected for a standard thesis.
- The journal format thesis allows a postgraduate researcher to incorporate sections that are previously published, submitted for publication, or in a format suitable for submission for publication in a peer-reviewed journal. Apart from the inclusion of such materials, the thesis must conform to the same standards expected for a standard thesis. A significant proportion of the researched materials should be derived from original research undertaken after the date the student registered for PhD. The student should use the introductory section of their thesis to explain and justify in full the nature and extent of their own contribution and the contribution of co-authors and other collaborators to the publications presented.
- For Professional Doctorate programmes students may be required to submit a *portfolio* (together with a supporting critical commentary) instead of a thesis.
- For PhD by Published Work, the submission comprises a written commentary and relevant published outputs (as described in Annex A I b) of the "*Regulations for the Award of PhD by Published Work*"

4.2   Responsibilities of the Student (Candidate)

The submission is the students own achievement and (for doctoral candidates) <u>their own</u> original contribution to knowledge. The Candidate acknowledges this when they eventually claim copyright of the thesis, and this ownership is also asserted through the formal declaration in the submission, where the Candidate states that the submission *is the work of the student alone*. This means that:

- The Candidate is declaring that the work presented in the submission *follows appropriate standards of academic practice,* is free of plagiarism, and *fully acknowledges opinions, ideas and contributions to the work of others;* and
- The work is that of the Candidate alone, even when the programme is part of a collaborative research project.
- In the case of a journal format thesis that includes co-authored publications, it is expected that the Candidate will have taken the major role in all aspects of production of the papers, including formulation of ideas, design of methodology, data acquisition, analysis and writing the paper in journal format.

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

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

Because the Student <u>owns</u> their research, *the student is responsible for submitting the final thesis,* and *the submission of the thesis for examination is at the sole discretion of the student.* Of course, the Student will seek advice from the Principal Supervisor on whether the research is ready for submission; whether sufficient work has been completed by the target submission date; whether the work is at the appropriate academic level; and will seek advice on format and presentation. *It would be unwise for the student to submit their thesis against the advice of the supervision team, but they do have the right to do so. The student should also not assume that a supervisor's agreement to the submission of their thesis guarantees the award of the degree.*

4.3   Timing of the Submission

The target date for the Student to submit the work is set by the University's regulations, i.e. normally before the expiry of the student's standard duration date.

The Student needs to complete the programme as soon as possible, so that the currency of the research enables him/her to make an original contribution to knowledge in the academic field; timelysubmission may also be driven by the needs of career development, finance and personal/family commitments. The University also requires timely submission to ensure the quality and academic standing of its research degree programmes. Several technical issues can impact on good timing:

- If the nomination of Examiners is delayed, but the Student still attempts to submit the thesis before Examiners have been appointed, there will be a further delay in the examination process. Principal Supervisors and students should be aware that it takes time to secure the approval and appointment of a proposed examination team. Therefore, the Principal Supervisor should arrange for the application form for appointment of Examiners to be submitted at least six months in advance of the student's planned submission date.
- Early submission before the end of the student's Standard Duration date is permitted but if the Student wishes to submit <u>more than three months</u> before his/her Standard Duration date, early submission will then *require the approval of the relevant Faculty PGR Committee*.
- Late submission will require the Student to request an Extension of registration or, exceptionally, to Re-register their programme of research.

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

4.4 Word-length of the submission

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

	PhD	*MPhil*	*Professional Doctorate*
In science & engineering	*35,000-45,000*	*17,500–22,500*	*25,000-32,500*
In discursive subject areas such as humanities and social sciences	*75,000–85,000*	*37,500–42,500*	*55,000-60,000*
Creative Arts (practice-led research including subjects centred in the Creative Writing field etc)	*30,000-40,000*	*15,000-20,000*	*20,000-30,000*

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

Notes

- For PhD by Published Work, it is anticipated that the written commentary on the candidate's cited published outputs will be 8,000 – 10,000 words in length, (as described inAnnex A I b) of the *"Regulations for the Award of PhD by Published Work"*
- In the cases of either a journal format thesis or a PhD by Published Work, the incorporation of publications or publication-style chapters in the thesis may be expected to lead to some variation from the standard word length. In some cases, each publication will have self-contained components that will overlap with parts of the other sections of the thesis, leading to some duplication. In other cases, the relatively concise style of publications may produce some shorter chapters. In such cases where the thesis varies from the standard word length, the Candidate will need to seek Graduate School Committee approval for the submitted word length prior to submission.

Any queries should be discussed with either a supervisor or PGR Director

4.5 Submission for examination in electronic format

The thesis or equivalent must be submitted to the Graduate School (including re-submissions) in electronic PDF format only. It will include a one-page Abstract of not more than 300 words of the written submission for the viva voce (oral) examination.

The student must ensure that their submission fully conforms with the University's requirements on presentation. Full guidance on the format of presentation is detailed at Annex A or B to this document.

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

4.6 Where should the thesis/portfolio be submitted?

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

4.7 Presentations

The University's research degree examination procedures <u>do not</u> require the candidate to give a presentation of his/her research project, to the examiners, on the day of the oral examination. If the candidate particularly wants to give such a presentation, he or she

must advise the Graduate School of this when the thesis (or portfolio) is submitted to the Graduate School for examination. This is important because:

- the Graduate School will need to confirm with the examiners that they have no objection to a presentation being given.
- if the Examiners agree to receive a presentation, then the format (and timings) for the candidate's examination will differ on the day of the exam and before the actual oral examination can begin.

4.8 Supervisor role in the exam

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

4.9 Presentation format of the submission

As indicated above, the format is prescribed by the University. *The work must be presented to an excellent standard of presentation…the student must ensure that the format and standard of submission fully meet the requirements of the University's regulations.* The standard submission is in A4 'portrait' format, in pdf electronic format. Details of the required presentation format are given at Annexes A (for both a traditional format and a journal format PhD/MPhil thesis) B (for a Professional Doctorate thesis or portfolio) or C (for a PhD by Published Work) to this document:

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

A copyright declaration must also be submitted, usually only with the finalised fully bound version of the submission at the end of the award process, and on a standard declaration form provided separately by the Graduate School.

The candidate should also provide, with the submission, *copies of any material which he/she may have published (alone or jointly), to enable the examiners to be fully informed of the contribution to knowledge actually made by the submission*. This material may accompany the submission. It is also good practice to acknowledge, within the submission, both the reasons for undertaking the research study,as well as any assistance received by the candidate; for example, support from scholarships and from colleagues.

In the case of inclusion of papers within a journal format thesis, a paper that has been published or accepted for publication may have involved the student signing a copyright transfer agreement, transferring the copyright to the publisher. Some publishers allow the retention of certain rights, sometimes including reprinting a whole paper or parts of it in a thesis. Students must confirm this with the publisher at the time of publication. If not confirmed at the time of publication, retrospective permission must be sought.

5.0 THE ORAL EXAMINATION

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

Examinations may take place with attendees meeting either in person, online using video conferencing software, or via a combination of these options. The format will be agreed in advance at examiner appointment and arrangements subsequently confirmed by the Graduate School.

5.1 Setting the examination date

The Graduate School arranges the date and time of the oral examination, usually to be held within two months of receipt of the submission. This entails the Graduate School contacting all parties (the Examiners, the Candidate, the Principal) to determine availability and then, once a date has been agreed, notifying all participants, by email, of the final detailed arrangements, venue, timing etc. This is initiated when the student submits their thesis to the Graduate School

5.2 Roles and Responsibilities of the Examination Team

The Examination Team comprises two (occasionally three) Examiners plus possibly an Independent 'non-examining' Chair; the Chair does not assess the candidate's submission and is appointed (or not) based on criteria outlined on the Nomination of Examiners form.

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

The role of the Examiners is to assess the submission and the Candidate's understanding of the research, against the University's criteria for the Award. An appointed Examiner is well placed to undertake this assessment role because each is experienced in research in the general area of the Candidate's submission and has experience as a specialist in the area(s) to be examined.

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

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

5.3   The process of the examination

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

In the case of a Practice-based submission, see note at section 5.4 below *.

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

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

The oral examination is the opportunity for the Candidate to defend their work, to demonstrate that it is their own work (in the case of a traditional format thesis) or to make clear what the contribution is distinguished from the contribution of others (in the case of a journal format thesis), to further develop their ideas in conversation with theExaminers, to demonstrate their command of the academic area they have researched, and also demonstrate their oral skills in presenting their contribution to knowledge.

5.4   The day of the oral examination

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

The candidate will be expected to have a copy of his/her submission in the examination and so, if required, may refer to it during the oral (viva voce) examination. Should the candidate wish to do so, he or she may also take relevant notes. If a candidate has any special requirements (including issues of disability) then he or she should discuss these with the Graduate School <u>well in advance of the agreed date for the examination</u>.

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

At the conclusion of the oral examination, the Candidate and Supervisor are advised to withdraw from the examination room (or virtual meeting). This allows time for the Examiners to decide on which outcome they will recommend to the Graduate School Committee. It is the Chair'sresponsibility to seek a consensus agreement by the Examiners on the recommended outcome of the examination.

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

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

6.0   AFTER THE EXAMINATION

After the oral examination has been held, it takes up to six weeks for the Examiners' recommendation to be considered for approval by the University's Graduate School Committee (GSC), which is done by monthly Chairs Action; the Candidate will not be formally notified of the examination outcome until then.

When GSC considers examiners' recommendations, the Committee usually approves the examiners' recommendations in a straightforward way. Occasionally, however, GSC will adjust the examiners' recommendations, to ensure parity across the University, or where examiners have strayed outside of University regulations. Very rarely, i.e. when examinerswere unable to agree on a recommended outcome, GSC may appoint new examiners.

Whatever the decision of GSC, the Graduate School will formally notify the Candidate of the examination outcome (copied to the Principal Supervisor).
If the approved examination outcome is an award of the degree without any further corrections, there is no further academic work for the Candidate to undertake. The processes for finalising the award are set out in section 8 of this document.

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

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

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

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

Corrections

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

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

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

Re-submission

Where Examiners recommend a re-submission, it means that the Candidate has <u>NOT</u> satisfied the University's requirements for the award. The shortcomings of the submission are so significant that the submission has to be thoroughly revised, so that the Candidate can make a second attempt to satisfy the requirements for the award of the degree through a re-examination. In this case, the Candidate has up totwelve months to revise the submission in the light of the comments made by the Examiners, and then to re-submit it to the Graduate School. Thereafter, the Candidate will have a second oral examination, to demonstrate that he or she meetsthe criteria for the award; however, this will be the final full opportunity for the Candidate to do so, because *normally, only one oral re-examination is permitted*.

It is critical that full attention is paid to the changes required by the Examiners and to the comments made by Examiners on the report compiled at the end of the first exam(the report form 'B'), which has been copied to the Candidate and the Principal Supervisor. It is the Candidate's responsibility to carefully and thoroughly correct or revise their submission to fully satisfy the Examiners' requirements, so as to meet theUniversity's criteria for the award.

6.2   Working on the required corrections/revisions

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

When the Candidate has completed the required corrections, or revised the thesis/portfolio for re-submission, the work must be submitted electronically to The Graduate School. The Graduate School will then liaise with the Examiners, to finalise the examination process (including, in the case of a re-submission, the arrangements for the second oral examination).

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

Once the Examiners have completed their assessment of the corrected submission,they submit their recommended outcome to the Graduate School Committee (GSC),via The Graduate School. The Examiners will confirm whether the candidate has completed the corrections to their satisfaction and whether they can recommend to the GSC that the award should be made to the candidate.

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

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

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

7.0   THE AWARD

Once the Graduate School Committee has awarded the degree, the Candidate is notified accordingly by the Graduate School. The formal date of the award is the date of the relevant Graduate School Committee meeting (normally the date of the chairs action).

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

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

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

7.1 Restricted Access to the final thesis

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

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

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

A1 General statement

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

A2 The thesis

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

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

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

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

A3 The form of the submission

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

In sciences and engineering:
   ♦ a written thesis of 35,000 - 45,000 words for PhD; or
   ♦ a written thesis of 17,500 - 22,500 words for MPhil.

In discursive subject areas such as humanities and social sciences:
   ♦ a written thesis of 75,000 - 85,000 words for PhD; or
   ♦ a written thesis of 37,500 - 42,500 words for MPhil.

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

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

Practice-led submission:

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

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

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

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

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

A4   Required layout of thesis

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

the required layout <u>in all versions</u> of a thesis is as follows. The material should be arranged in the following sequence:

An outer front and back cover

A Title page

An Abstract of the thesis (on a separate page)

List of contents

List of tables and figures

List of accompanying material

Preface

Acknowledgement(s)

Author's declaration

Text, divided into chapters, sections and sub-sections

Appendices (in single-volume thesis)

Glossary

List of references

Bibliography

Index

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

A5   Front cover

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

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

(an example front cover is included at Appendix 1)

A6   Title page of thesis

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

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

(an example is included at Appendix 2).

A7   Layout of the main body of the thesis

The text and all thematerial of the thesis including illustrations should be produced in **A4-format**.

The left-hand **margin** of each page should not be less than 4.0 cm. Other margins should be not less than 1.5 cm.

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

Double or one-and-a-half spacing must be used in typescript, except for indented quotations or footnotes where single spacing must be used.
Pages must be numbered consecutively through the main text including figures such as photographs and/or diagrams which are included as whole pages. Consistent forms of language, spelling, numbering, symbols, etc. should be used throughout a thesis. **Page numbers** should be visibly clear of the text centred at the bottom of the page.

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

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

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

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

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

An example is included in Appendix 3.

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

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

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

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

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

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

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

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

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

A8   Placing the thesis in the University Library

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

A9   Restricted access to the final thesis

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

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

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

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

THE ORIGINS OF THE FARMERS' CO-OPERATIVE IN WESSEX

J P BROWN

PhD

2013

THE ORIGINS OF THE FARMERS' CO-OPERATIVE IN WESSEX

JOHN PHILIP BROWN

A thesis submitted in partial fulfilment

of the requirements of the

University of Northumbria at Newcastle

for the degree of

Doctor of Philosophy

Research undertaken in the

Faculty of Arts, Design & Social Sciences

and in collaboration with

the Farmer's Union Ltd, Wessex

September 2013

Appendix 3:   Specimen declaration page wording <u>MPhil/PhD</u>

Declaration

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

Any ethical clearance for the research presented in this commentary has been approved. Approval has been sought and granted through the Researcher's submission to Northumbria University's Ethics Online System / external committee [please indicate as appropriate] on [date].

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

Name:

Date:

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

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

- The standard submission comprises a written thesis with an indicative word length of not more than 60,000 words.

- The Portfolio will always contain a critical commentary of approximately 15,000 words.

Further advice is available from the relevant Committees[1] and particular attention should be paid to the requirements of the validation document of the relevant Professional Doctorate programme.

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

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

B2 Copies of the thesis or portfolio must be presented in a permanent and legible form either in typescript or print.

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

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

B5   There must be a title page included in the thesis or portfolio, which gives the following information:

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

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

---

[1] Faculty PGR Committee or Graduate School Committee

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

the School or organisation in which the research was conducted;

the month and year of submission of the work.

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

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

the full approved title of the work

the candidate's name and initials

the degree for which the thesis or portfolio is submitted

the month and year of submission of the work

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

B6 After the degree is awarded, if the candidate has previously requested that the Professional Doctorate thesis or portfolio be held on restricted access (or should remain confidential) for a period of time after the award of the degree (normally two years), the thesis or portfolio will not be lodged in the University Library or the University's online open repository until after the period of restriction/confidentiality has expired.

THE DEVELOPMENT AND IMPLEMENTATION OF A STRATEGIC PLAN FOR BROWN CONSULTANTS

J P BROWN

DBA

2013

THE DEVELOPMENT AND IMPLEMENTATION OF A STRATEGIC PLAN FOR BROWN CONSULTANTS

J P BROWN

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

Research undertaken in Newcastle Business School

and in collaboration with Brown Consultants

September 2013

Appendix 6: **Specimen declaration page wording <u>Professional Doctorate</u>**

Declaration

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

Any ethical clearance for the research presented in this commentary has been approved. Approval has been sought and granted through the Researcher's submission to Northumbria University's Ethics Online System / external committee [please indicate as appropriate] on [date].

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

Name:

Date:

Appendix 7: Abbreviations used for Professional Doctorate programmes:

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

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

Instructions to candidates for the preparation of "the submission"

I.   Following successful application for PhD by Published Work (i.e. the Graduate School has notified that applicant that the University's Graduate School Committee is satisfied that the applicant has made a *prima facie* case for the award of the degree), the candidate is required to submit to the University, via the Graduate School, a set of documentation ('The Submission') that includes:

   a)   electronic copies of each of the published works cited, if necessary, giving proof of authenticity. The works should be numbered and correspond <u>exactly</u> with the list cited in the original *prima facie* application (acopy of this approved list should also be included). No additional work can be included, without the prior permission of the University's Graduate SchoolCommittee.

   b)   a written commentary on the cited published outputs (it is anticipated that 5,000 – 10,000 words will be submitted) which:

      (i)   incorporates an abstract and a substantial introduction and conclusion which both puts the total work submitted into the context of knowledge as it then existed and also indicates the candidate's contribution
      (ii)   provides evidence of an independent, coherent and original contribution to knowledge and states the significant contribution of the original work to the advancement of the field of study
      (iii)   is presented to a professional standard
      (iv)   should not be a replication, elaboration or enhancement of material
              contained in previously published work.

   c)   any forms relating to the submission of jointly authored work, fully signed (*see regulation 3.5*)

   d)   the declaration that the publications have not been submitted for another award *(see regulation 3.6)*.

   This must be submitted in electronic PDF format - including for re-submissions following an oral examination.

II.   Where a significant part of the candidate's own creative practice has been used as an instrument of inquiry and reflection, the candidate submits as described in section I above. However, in addition to the instructions above, the written commentary should clearly present the artistic workand set it in its relevant theoretical, historical, critical or design context.

III.   Each Submission, excluding books, is presented in A4 format.

IV.   Each copy of the Submission contains:

   a)   a contents page and

   b)   a title page which includes the following information:

      (i)   an appropriate title relating to the candidate's area of research covered by the published work submitted for the degree;

      (ii)   the full name of the candidate;

(iii)   the following statement*: "A commentary submitted in partial fulfilment of the requirements of the University of Northumbria at Newcastle for the degree of Doctor of Philosophy by published work";*

(iv)   the date of submission.

c)   a declaration as follows "*I declare that no outputs submitted for this degree have been submitted for a research degree of any other institution*"

A JOURNEY EXPLORING THE DEVELOPMENT OF SOCIAL AND CULTURAL IDENTITIES

JOHN PHILIP BROWN

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

September 2013

Appendix 9: **Specimen declaration page wording <u>PhD by Published Work</u>**

Declaration

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

Any ethical clearance for the research presented in this commentary has been approved. Approval has been sought and granted through the Researcher's submission to Northumbria University's Ethics Online System / external committee [*please indicate as appropriate*] on [*date*].

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

Name:

Date: