

## **XII. Doctor of Philosophy (Integrated) Regulations**

*Postgraduate research students are responsible for familiarising themselves with the Code of Practice for Research Degree Programmes approved by Senate, which is reviewed annually and made available each academic year and included in the Handbook for Research Students and Supervisors: <https://www.ncl.ac.uk/students/progress/student-resources/PGR/Publications.htm>*

*These regulations should be read in conjunction with the programme specific regulations, which have been approved by the University Education Committee (UEC).*

*The basis for the award of the degree of Doctor of Philosophy (Integrated) to staff candidates shall be the same as the basis for the award of the degree to student candidates.*

### **A. Introduction**

1. Applicants for the degree of Doctor of Philosophy (Integrated) are required to demonstrate:

- a) a systematic acquisition and understanding of a substantial body of knowledge which is at the forefront of an academic discipline or area of professional practice;
- b) 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;
- c) the ability to conduct original investigations, to explore, evaluate and test their ideas, and those of others, and to relate them to a wider body of knowledge;
- d) the general ability to conceptualise, design, implement and adjust a project for the generation of new knowledge, applications, or understanding at the forefront of the discipline. Where appropriate, also to demonstrate the ability to formulate and test hypotheses and to generate alternative explanations for the data available;
- e) a detailed understanding of applicable techniques for research and advanced academic enquiry;
- f) a range of advanced professional and key skills related to their likely employment context including the ability to communicate their ideas and conclusions clearly and effectively to specialist and non-specialist audiences.

2. The University Handbook for Examiners of Research Degrees provides further details in the section, 'Criteria for the Doctorate': <https://www.ncl.ac.uk/students/progress/student-resources/PGR/Publications.htm>.

3. Applicants, who are approved for admission as students for the degree of Doctor of Philosophy (Integrated) under these regulations, will be required to pay the fees for the degree as set out in the annual *Fees Schedule* <https://www.ncl.ac.uk/regulations/fees/>.

## **B. Admission as a Student for the Degree of Doctor of Philosophy (Integrated)**

4. An applicant may be approved for admission as a student for the degree by a minimum of two postgraduate admissions selectors in accordance with the University's *Postgraduate Admissions Policy* and faculty / programme criteria approved by respective deans of postgraduate studies (or nominees), where an applicant:

- a) is a graduate of this or another approved university or other approved degree awarding body or holds other qualifications approved by the dean of postgraduate studies (or nominee);
- b) has completed an approved application, including:
  - i. evidence of the applicant's suitability to become a student in terms of academic ability and prior training and experience.
  - ii. evidence that the applicant's English language proficiency meets the published requirements for the programme of research;
  - iii. a research proposal, if required;
- c) has supplied details of two recent referees and evidence of prior qualifications and experience as the postgraduate admissions selectors and/or the dean of postgraduate studies (or nominee) may require.

5. In considering an application for admission as a student for the degree, the postgraduate admissions selectors must be satisfied not only as to the suitability of the applicant, but also as to the availability to the applicant of appropriate supervision and suitable facilities and resources once the applicant is admitted. It is the responsibility of the relevant head of school, directly or through the postgraduate admissions selectors, to ensure that appropriate supervision, suitable facilities and resources will be available to an applicant once admitted.

## **C. General Preconditions to the Award of the Degree of Doctor of Philosophy (Integrated)**

6. Before being awarded the degree of Doctor of Philosophy (Integrated), a student must:

- a) satisfy the entrance requirements for the degree;
- b) register for and satisfactorily complete the programme of study as prescribed by the programme regulations. The full programme shall comprise taught modules and a research thesis. There will be between 120 to 200 credits drawn from taught modules and the research element will include generic and specific skills training elements as well as the thesis;
- c) satisfy the examiners in the assessments specified in the relevant programme regulations for the degree of Doctor of Philosophy (Integrated).

## D. Supervision of Students

7. A student for the degree of Doctor of Philosophy (Integrated) must engage in advanced study and research under the direction of a supervisory team in the University. The supervisory team normally consists of at least two members of University staff and the academic supervisor is appointed by the head of school, or nominee, before a candidate is transferred to the research stage.

8. To be eligible to supervise students for the degree of Doctor of Philosophy (Integrated), a member of staff must hold the degree of Doctor of Philosophy or an equivalent research degree or have equivalent research expertise. The appropriateness of an equivalent research degree or expertise should be determined by the relevant head of school in consultation with the relevant dean of postgraduate studies (or nominee).

9. The academic supervisor will be a member of academic staff of Newcastle University and normally have had previous experience of at least one successful supervision. The academic supervisor will have primary responsibility for supporting the student throughout the period of study. Any reference to the supervisor in these regulations or in the *Code of Practice for Research Degree programmes* or in other documents shall be deemed to be a reference to the supervisory team.

10. In any case where students are studying outside the University at another institution, arrangements may also be made for local supervision and support to be provided to the student by staff at that institution (see Regulation 14(d)). Such arrangements will supplement the role of the supervisor detailed in Regulation 9 above. Where External Advisors are added to the supervisory team, the 'Principles for the appointment of an External Advisor should be consulted at:

<https://www.ncl.ac.uk/students/progress/student-resources/PGR/FormsPolicies.htm>.

### Notes

- (i) *Where the members of the supervisory team are permanently changed candidates should normally be consulted in advance. The outcome of the consultation informs decisions made regarding the supervisory team.*
- (ii) *On rare occasions supervisory relations may break down. In such circumstances, in the first instance students should consult with another member of the supervisory team. If it is not possible to resolve the problems in this manner, then the student and/or a member of the supervisory team should report difficulties, in writing, to the head of school (or nominee), who may refer the matter, if necessary, to the relevant graduate school administrator or dean of postgraduate studies (or nominee) for advice.*
- (iii) *All supervisory changes must be notified to the relevant graduate school administrator and be agreed by the dean of postgraduate studies (or nominee).*
- (iv) *The Code of Practice for Research Degree Programmes provides further details on changes to supervisory teams and on appropriate supervisory support for research students.*

## **E. Period of Study and Registration Requirements**

11. An applicant may be approved by the postgraduate admissions selectors as a student for the degree of Doctor of Philosophy (Integrated) in one of the following categories:

- a) as a student whose minimum period of advanced study and research in the University shall normally be not less than four years of full-time study.
- b) *Students who have already obtained a relevant masters or equivalent qualification can be considered during the admission process to be registered into year 2 of the programme. This means that these candidates shall study not less than three years of full time study.*

12. Any student who wishes to transfer from one of the categories of candidature specified in Regulation 11 to another such category may do so only with the approval of the appropriate dean of postgraduate studies (or nominee) and subject to the recommendation of the relevant supervisory team and head of school.

13. In all cases of candidature approved under Regulation 11, approved students shall be required to register continuously from commencement of their candidature until completion. During this time students must abide by the requirements of the University's *General Regulations*. A student's period of study shall be reckoned from the date of first registration for the degree of Doctor of Philosophy (Integrated).

## **F. Study Undertaken Outside the University**

14. With respect to the research elements of the degree, a student may be permitted by a dean of postgraduate studies (or nominee), on the recommendation of the relevant supervisory team and head of school, to study outside the University (or an approved campus) for more than one month. Approval should normally be sought three months in advance of the start of the period of outside study and the dean of postgraduate studies (or nominee) is satisfied before the beginning of that period of outside study that:

- a) the student will have access to adequate facilities, resources and appropriate research training;
- b) sufficient time for study and research will be available to the student;
- c) appropriate arrangements have been made for the student's supervision and progress monitoring during the period of study outside the University, including arrangements for the supervisory team to maintain contact with and to meet with the student in accordance with requirements stated in the Code of Practice for Research Degree programmes and as often as is necessary;
- d) appropriate arrangements have been made in any case where the student is attached to or working at an institution outside the University and is offered local supervision and support by staff at that institution.

- e) any relevant health and safety issues have been considered and approved by the head of school/nominee in line with University guidelines and University Insurance policies.

All study visit, of any duration, by a student to a high-risk location must also be signed off by the dean of postgraduate studies (or nominee), or faculty PVC under certain circumstances. More information is available in the Travel and Outside Study (off-campus and abroad) Guidance for Postgraduate Research Students:

<https://www.ncl.ac.uk/students/progress/student-resources/PGR/changeCircs/StudyOutside.htm>

Notes:

- (i) *that periods of study outside the University of less than one month should be agreed within the student's school and the student should complete a Student Notice of Absence form.*
- (ii) *that any student who is permitted to undertake part of their study outside of the University is still required to pay the standard fees whilst within their candidature, unless alternative arrangements were approved as part of the admission process.*
- (iii) *that any student who is permitted to undertake part of their study outside of the University is still required to have their attendance monitored on the programme, including time registered as a pending or extended submission student.*
- (iv) *that any student who is permitted to undertake part of their study outside of the University is still required to adhere to their deadline for submission, unless an extension or interruption of studies has been agreed as part of the outside study approval.*

Notes for Tier 4 Visa Holders

- (v) that students are required to inform the University if they are away from Newcastle (or approved campus) as a condition of their visa sponsorship.
- (vi) that students under candidature who are undertaking primary research outside the UK will normally be permitted to do this for 12 months without curtailment of the Tier 4 visa.
- (vii) that students who are leaving the UK to write-up in their home country or elsewhere, will normally have their Tier 4 visa curtailed.

## **G. Attendance and Progress**

15. With respect to the taught elements of the degree, a student registered for the degree of Doctor of Philosophy (Integrated) shall attend and complete the requirements of, and satisfy the examiners in, the prescribed assessments for the taught elements of the programme as set out in the relevant programme regulations for the degree of Doctor of Philosophy (Integrated), including the generic and specific skills training elements.

16. The progress of all students registered for the degree of Doctor of Philosophy (Integrated) shall be reviewed no later than at the end of the first 12 months by the relevant board of examiners and head of school in order for a decision to be made as to whether or not they have demonstrated the potential

to succeed on the full programme. Such a review shall be carried out in accordance with procedures agreed for each programme.

17. In the case of any student whose progress is deemed to be unsatisfactory at any stage, the board of examiners or progress panel may recommend that:

- a) where the relevant programme regulations for the degree of Doctor of Philosophy (Integrated) allow re-examination in the taught elements of the programme, the student be re-examined in the failed modules in accordance with the programme regulations for the degree of Doctor of Philosophy (Integrated);
- b) the student be required to produce additional work and/or to undergo further review after an additional period of study and research;
- c) the student be considered for the award of a Masters degree in accordance with Regulation 26;
- d) the student not be permitted to continue on the programme following the board of examiners review in the first year of study, but be considered for an exit award, where named in the programme specific regulations.
- e) the student not be permitted to remain as a registered student for either the degree of Doctor of Philosophy (Integrated) or for a Masters degree and not be eligible for any other exit award (where named in the programme regulations) and that the candidature be terminated.

18. With respect to the research elements of the degree, that is, in the second and subsequent years of registration for the PhD (Integrated), a student shall comply with the following requirements for progression:

- a) Within one month of beginning the research element of the programme, have signed an approved learning agreement between the student and the University to cover the period of research;
- b) A student should submit a project proposal within the guidelines identified by the relevant graduate school committee, up to a maximum of three months of the beginning of the research element. The project proposal must be approved by an independent school panel and head of school/nominee, before being submitted for approval by the dean of postgraduate studies (or nominee). Where a student's project proposal has already been reviewed and approved by external peer review, a project plan and supervisory team list should still be submitted to the panel for approval before being submitted for approval by the dean of postgraduate studies (or nominee).

Progression on the research element of the programme will be dependent upon acceptance of the project proposal. If the school panel is unable to support the initial project proposal, a student will be permitted an opportunity for re-assessment, normally within three months. If, even after a re-assessment opportunity the school panel does not approve the arrangements for the project, it will be the annual progress panel that will be required to make a recommendation regarding the outcome for a student (see Regulation 21);

- c) A student should attend the University as frequently and at such intervals as the supervisory team shall require, bearing in mind whether the student is registered as full-time or part-time and allowing for any period of study undertaken outside the University. As a minimum, in accordance with the *Code of Practice for Research Degree Programmes*, students should have regular contact with their academic supervisor at least ten times a year, approximately once per month, and should have formal contact with their supervisory team at least three times a year, normally once per term, while they are in candidature. The University requires that students record and confirm the outcomes of supervisory meetings, via ePortfolio;
- d) In addition to c) above, a student who is a Tier 4 visa holder should continue to record and confirm the outcomes of their regular supervisory meetings via ePortfolio, while under examination through to completion of their studies, as a condition of their visa sponsorship.
- e) A student should maintain a record of their personal development throughout their period of registration and submit this as evidence of development on an annual basis to their progress panel;
- f) A student should submit reports and evidence of achievement as specified by the school or faculty graduate school committee on an annual basis. Students may also be required to make a project presentation or submit a piece of work or to attend a viva as prescribed by the school. This material, along with reports from the supervisory team, will be considered as part of an annual submission to the progress panel for each student.

19. The school will appoint a progress panel for each student. The progress of each student will be reviewed annually via ePortfolio until submission of the thesis for examination, following the board of examiners at the end of the first 12 months.

20. The supervisory team shall submit an annual report via ePortfolio concerning the progress of the student's research for review by the appointed progress panel until submission of the thesis for examination.

21. The progress panel will make a report to the dean of postgraduate studies (or nominee) via ePortfolio and further progress on the programme of study is subject to approval by the dean of postgraduate studies (or nominee). In addition to detailed feedback that the progress panel may wish to provide to the student and the supervisory team, the progress panel will make one of the following recommendations:

- i. that the student's performance is satisfactory and that the student can proceed to the next stage.;
- ii. that notwithstanding some concerns which the student and supervisory team should note, the student's overall performance is satisfactory and that the student can proceed to the next stage;
- iii. that the student's performance is unsatisfactory and that a further progress review should be held normally within two months to determine whether progress on the programme will be recommended;

- iv. that the student's performance is unsatisfactory and that a submission for a Masters degree examination is recommended instead of a submission for a Doctor of Philosophy (Integrated) examination;
- v. that the student's performance is unsatisfactory and that no submission for a Masters degree or Doctor of Philosophy examination is recommended, and that the candidature is terminated.

22. In exceptional cases where the progress panel is not satisfied that the supervisory arrangements are adequate and appropriate, but considers that the student would otherwise be able to achieve the standards of the award, the panel may seek the approval of the head of school to make a recommendation to the dean of postgraduate studies (or nominee) for the replacement of all or part of the supervisory team.

23. The annual progression review procedure will be deemed equivalent to a board of examiners and therefore the University's procedure for assessment irregularities shall apply to any reported or suspected cheating or plagiarism. The procedure is available at

<https://www.ncl.ac.uk/students/progress/Regulations/Procedures/assessment.htm>

24. A student whose progress is not deemed sufficient to continue studying for the degree of Doctor of Philosophy may nonetheless be deemed by the progress panel to have made sufficient progress as a student for the degree of Master of Philosophy. In such a case the student shall be permitted to submit a thesis for the degree of Master of Philosophy. The normal expectation in such cases, is that the student will be in a position to either: submit immediately for the Master of Philosophy; or submit for a Master of Philosophy following a period of pending submission, which should be up to one year following the date of the decision to downgrade. A student will not normally receive an additional period of candidature.

25. Where the progress panel recommends submission for a Master of Philosophy, instead of a Doctor of Philosophy, there will be no expectation of an upgrade back on to the Doctor of Philosophy at a later stage.

*Notes:*

- (i) That the progress panel should not normally recommend that a student's registration is terminated (Regulation 21(v)), without having previously provided a further progress review/ re-assessment opportunity to the student (Regulation 21(iii)).*
- (ii) That any further progress review/ re-assessment opportunity should be recorded via ePortfolio.*
- (iii) In each annual Progress Review, a student should normally only have one further progress review/ re-assessment opportunity.*

## **H. Award of a Master's Degree**

26. In the case of students who have not demonstrated the potential to succeed on the full programme, or who choose not to continue on the full programme, at the end of 12 months, or where the progress of the candidate is deemed unsatisfactory at subsequent stages, they may be considered for the



award of a Masters degree. In order to qualify for the award of a Masters degree, a student must have demonstrated achievement of all the learning outcomes of the degree to be awarded, which may include the submission of a dissertation. The appropriate Masters degree will be named in the programme regulations for the degree of Doctor of Philosophy (Integrated).

27. A Masters degree may be awarded with Merit or Distinction subject to, and in accordance with, the regulations for the relevant Masters degree.

## **J. Mid-Year Procedure for Dealing with Unsatisfactory Progress**

28. With respect to the research element of the degree, a student whose progress is considered unsatisfactory by the supervisory team at times other than the normal annual assessment of progress shall be notified in writing of the reasons for this opinion and shall be given the opportunity of an interview with the supervisory team. Following this notice and any interview, and taking account of all known circumstances, the supervisory team may, either

- a) monitor the student's attendance, progress and performance for a specified period; this may require the undertaking of additional pieces of work. If the candidate's performance has not improved within the period specified in the written notice, the supervisory team shall notify the head of school or nominee and submit a report for review by the progress panel; or
- b) the supervisory team shall notify the head of school or nominee and submit a report for review by the progress panel without undertaking a period of monitoring.

In either case where a report is made to the progress panel for review of the student's progress, the student shall also be given the opportunity to submit a report to the progress panel. The progress panel will make a report and recommendation to the dean of postgraduate studies (or nominee) (in accordance with Regulation 21). This review should be carried out via ePortfolio.

## **K. Procedure for Review of Penalties for Unsatisfactory Progress**

29. A student applying for review of the decision of the progress panel may only do so in writing, using the University Academic Queries and Appeals Procedure at specifying one or more of the following grounds <https://www.ncl.ac.uk/students/progress/Regulations/Procedures/appeals.htm>:

- a) the progress panel were not aware of circumstances affecting the student's performance. (That is: the student was adversely affected by illness or other factors of which s/he was previously unaware, or which for a good cause, s/he was unable to disclose to the progress panel);
- b) procedural irregularity on the part of the progress panel;
- c) bias or prejudice on the part of the progress panel;

- d) that the decision reached was perverse in that it was one which no reasonable person could have reached on the available evidence.

## **L. Change of Circumstances**

30. The University normally expects a student to complete their candidature in a single continuous period (i.e. to be continuously registered until completion) and to submit within the maximum candidature for the programme. However, it recognises that this may not always be possible.

31. The Dean of Postgraduate Studies will give sympathetic consideration to requests for periods of interruption, subject to the student providing a strong justification and evidence, supported by the supervisory team. However, candidature should not normally be held in abeyance for more than twelve months.

32. Absences of more than one month will normally be classed as an interruption of study.

33. A request for a period of interruption should be submitted by the student, via ePortfolio, prior to the time of occurrence, where possible, or as soon as possible thereafter.

34. Retrospective (backdated) interruptions will not be considered, unless there are exceptional circumstances.

35. Retrospective (backdated) interruptions are not permitted for students who are Tier 4 visa holders.

36. In exceptional cases, the Dean of Postgraduate Studies will consider requests for an extension of time for submission, subject to the student providing a strong justification and evidence, supported by the supervisory team.

37. A request for an extension of time for submission must be submitted by the student, via ePortfolio, before the current deadline for submission.

38. A student granted an extension of time for submission will be required to register as an 'extended submission' student and pay tuition fees as stipulated in the University's fee schedule.

### *Notes:*

- (i) A formal interruption of study will adjust a student's latest submission deadline, in line with the period of interruption.*
- (ii) Absences of less than one month should be recorded via the Student Notice of Absence form but do not constitute a formal interruption of study and as such the latest submission deadline is not adjusted.*
- (iii) A student who is still actively researching during an 'extended submission' period must continue full registration and will pay the full tuition fee for the period of their continued candidature.*
- (iv) It is expected that a student who is registered as 'extended submission' will continue to receive regular structured interactions with members of the supervisory team and full access to Library and computing facilities will be available.*

- (v) *Students should not assume that an interruption request will be approved and should continue with their studies, where possible, until the formal decision is received.*

## **M. Teaching Duties**

39. Students for the degree of Doctor of Philosophy (Integrated) may undertake paid duties in the University in any period of full-time study, provided that they consult their academic supervisor about the time that may be devoted to such duties and provided that they do not contravene the terms of any studentship and/or visa that they might hold. Ordinarily, this will mean that teaching duties are additional to the normal commitments of a sponsored full-time student. All teaching *must be conducted in accordance with the University's Postgraduates Who Teach Policy at:*

<https://www.ncl.ac.uk/students/progress/student-resources/PGR/FormsPolicies.htm>

## **N. Assessment of the Taught Elements**

40 The modes of assessment, pass marks and rules relating to reassessment for the taught elements of the degree shall be as set out in the degree programme regulations for the degree of Doctor of Philosophy (Integrated).

## **P. Submission for Examination by Thesis**

41. The results of a student's advanced study and research must be embodied in a thesis in the approved form in accordance with Section XIV *Rules for the Submission of Work for Higher Degrees* and Section XV *Rules for the Form of Theses*. The length of a thesis shall be as set out in Section XV *Rules for the Form of Theses*. The thesis must be submitted electronically, together with the completed and signed submission form and other relevant material, to the relevant graduate school administrator.

All submitted theses will be scrutinised by the University using plagiarism identification software. If any incidences of plagiarism are detected then the University's Procedure for Assessment Irregularities will apply <https://www.ncl.ac.uk/students/progress/Regulations/Procedures/assessment.htm>

42. The exact title of a student's thesis must be submitted on ePortfolio for approval by the dean of postgraduate studies (or nominee), this should normally be three months before the thesis is submitted. Any change to the approved title of thesis following the initial approval must be notified to the relevant graduate school administrator and be agreed by the dean of postgraduate studies (or nominee).

43. The thesis for all students must be submitted for examination within the period specified below from the date appointed as the beginning of the period of study:

- a) within five years in the case of students proceeding under the provisions of Regulation 11(a);
- b) within four years in the case of students who were admitted into the second year of the four year programme.

44. Except with the permission of the appropriate dean of postgraduate studies (or nominee), a student may not submit a thesis earlier than the beginning of the last term of the prescribed period of study. Any student who submits a thesis earlier than the minimum period of advanced study and research with appropriate permission, earlier, shall nevertheless still be required to pay tuition fees for the whole of the minimum prescribed period of study.

45. Where a student has an outstanding tuition fee debt, a thesis can be submitted by the submission deadline, however, examination of the thesis will be on hold until receipt of the outstanding tuition fees.

## **R. Pending Submission for Students Completing their Minimum Period of Candidature**

46. A student who has completed their minimum candidature and has not submitted their thesis may be permitted on the recommendation of their progress panel to proceed to 'pending submission' student status for one further year. All 'Pending submission' students are required to register with the University.

*Notes:*

- (i) *A student who has completed their minimum candidature and who still requires more time to work on their research and thesis must continue full registration with the University.*
- (ii) *The fact that a student has completed their minimum candidature does not of itself constitute grounds for transferring to 'pending submission' registration. A student who is still actively researching must continue full registration and will pay the full tuition fee for the period of their continued candidature.*
- (iii) *A student registering under the 'pending submission' category will not be permitted to work in laboratories or studios or to take part in field trips (unless they have the authority of the appropriate head of school to do so for teaching or demonstrating purposes).*
- (iv) *It is expected that a student who is registered as 'pending submission' will continue to receive regular structured interactions with members of the supervisory team and full access to Library and computing facilities will be available.*

## **S. Language of Submission**

47. A student's thesis must be written in English. In exceptional cases, subject to the student justifying such a concession, the appropriate dean of postgraduate studies (or nominee) may allow the student to submit a thesis written in a modern language other than English. Such a concession shall be granted only where a student can demonstrate that the language of submission is integral to the research project, for example where the object of study is an aspect of the literary or linguistic culture of the language of submission and/or a significant proportion of the secondary literature on the object of study is written in the language of submission. Approval for submission in a language other than English must be sought at the time of application to study for the

degree. Where approval is granted, the abstract of the thesis must be written in English and any oral examination must be conducted in English.

## **U. Examination**

48. Details of the required arrangements for the examination are provided in Section XI *Doctor of Philosophy by Thesis Examination Conventions*.

*Note: The University cannot undertake to arrange the examination of a thesis immediately after its submission. Students are warned that several weeks may elapse between the submission of a thesis and the completion of the examination. The normal period between submission of a thesis and an examination is ten weeks, although circumstances may necessitate a longer time frame. Candidates shall be kept informed of the progress of the examination at monthly intervals by the Graduate School Administrator, should the examination process extend beyond the normal ten week period.*

