University Regulations 2009-2010

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The University Senate, being the supreme governing and executive body of the University in all academic matters, is responsible for ensuring that the University Regulations accurately reflect academic policy, and for approving changes and amendments annually. Senate has the authority to make amendments to the Regulations at any time.

This edition of the University Regulations is, as far as possible, accurate and up-to-date at the time of publication in August 2009.

www.ncl.ac.uk/regulations
I. General Regulations

These regulations shall be understood alongside the definitions of terms in the Progress Regulations and the Examination Conventions of the University, and shall be read together with any examination conventions specific to the relevant degree programme, as approved by the relevant faculty teaching and learning committee.

A. General Requirements

1. Students are responsible for making themselves familiar with all regulations and rules affecting them, and are expected to note all posted notices (whether in electronic or paper form) across the University. They must particularly note all dates of semesters and all three examination periods, and note both the times and places where University examinations are to be held.

2. Postgraduate research students are responsible for making themselves familiar with the Guidelines for Research Students.

3. In order to be admitted to the University all students are required to sign the following declaration: ‘I hereby promise to conform to the discipline of the University, to the Student Charter and to all Statutes, Regulations and Rules in force for the time being, in so far as they concern me’. See www.ncl.ac.uk/pre-arrival/regulations/.

4. Students are, except for absence with good cause, expected to attend all elements of their programme of study, including lectures, seminars, tutorials, practicals, laboratory work, language classes, performances, fieldwork and examinations. A student who does not attend classes for more than three consecutive days shall inform the school or graduate school. A student who is absent between 2 and 7 days must submit a self-certification form (see www.ncl.ac.uk/students/progress/); for absences longer than 7 days, a student must submit a medical certificate.

5. Students are expected to comply with any additional regulations and agreements required of them when using computing facilities, the University libraries, etc. The Information Systems and Services (ISS) and Library agreements are available at www.ncl.ac.uk/iss/getstarted/rules/ and at www.ncl.ac.uk/library.

6. The University became a Smoke Free Zone with effect from 1st January 2007. Students are expected to comply with this policy, details of which are available at www.ncl.ac.uk/hr/policy/conduct/.

7. Occasional students (those not pursuing an undergraduate or postgraduate programme of study leading to a degree or other qualification awarded by the University and which may include those studying for professional development) are not required to pass any entrance examination, but must satisfy the head of school, or his/her nominee, of their educational fitness to enter their desired programme of study. Although not registered on a designated award of the University, these students may nevertheless
register for specific modules. If occasional students complete any assessments at the University, the module assessment rules applicable to the rest of the cohort apply.

8. All occasional, exchange and CATS students are subject to the discipline of the University, must register as students, must pay the prescribed fees and must abide by the regulations regarding progress and examination conventions.

B. Registration and Module Choice

9. All students on taught programmes are required to register and be in attendance from the beginning of each stage of the programme. Ordinarily, this is in the first week of studies (induction week for taught programmes). Only exceptionally, and with the special permission of the degree programme director or director of studies, are students permitted to register after this time. An administration fee may be charged to any student who registers late.

   (a) Exceptionally students will be permitted to register conditionally, pending verification of essential admission criteria (e.g. health clearance). Students who fail to meet the required criteria will be excluded from further study.

   (b) Registration outside induction week is normally permitted only for postgraduate research students as they can register at any time.

10. Students registering for modular programmes are required to record their choice of modules for the entire academic year by the end of the induction week of Semester 1. Module choice is subject to the written approval of the degree programme director and must meet the requirements of the relevant degree programme regulations.

11. All transfers between modules must normally be completed before the end of the third week of the semester in which the module commences. Transfers beyond this date are permitted only in exceptional circumstances. Changes to module selection are subject to the written approval of the degree programme director and must be reported to the relevant school or graduate school. Students must also keep a record of the approval to make the change and should check that their registration is correct.

12. Students may be permitted, with the approval of the degree programme director, to select modules other than those listed in their degree programme regulations.

13. Students should note that all modules are offered subject to the constraints of the timetable and to any restrictions on the number of students who may be taught on a particular module. All modules are listed in the relevant degree programme handbook, but are not necessarily offered every year. Degree programme regulations are revised annually.
C. **English Language Policy**

14. In order to progress from a pre-sessional English Language training course to a University Degree Programme a student will need to have satisfactorily completed the pre-sessional course.

15. All new students whose first language is not English must take part in a free assessment at registration to assess their level of English language proficiency. A student's performance in the assessment will not prejudice registration, but will identify students who need support in one or more language skills. Such students may be required to undertake free in-sessional language training. This language training may be via credit-bearing modules or non credit-bearing courses and is decided by the degree programme director. Achievement of the desired level of proficiency can be made a condition of satisfactory student progress by the degree programme director or, in the case of a PhD student, by the dean of postgraduate studies, who will communicate this requirement to the student in writing.

Students may be exempted from the language proficiency test if:

(a) they can provide evidence of English language proficiency at IELTS 7.0 in all four language skills;

(b) they have been educated in an English-speaking country as defined in the list of exempted countries (see the English Language Policy, available at www.ncl.ac.uk/regulations)

(c) they can provide other evidence of a high level of competence in English, for example successful completion of ‘A’ levels or an undergraduate programme taught through the medium of English.

*Note: Exemptions from the University’s English Language Proficiency Test can be granted only by INTO Newcastle Centre Director (or agreed nominee) on behalf of Newcastle University.*

D. **Accreditation of Prior Learning**

16. An applicant who has studied at another institution, or has studied or gained appropriate experience at Newcastle University, may be admitted directly to the second stage of the degree programme (or the third stage in the case of a four-year degree) in accordance with the University’s policy on Accreditation of Prior Learning (APL) at www.ncl.ac.uk/aqss/qsh/ and with the approval of the admissions selector. The student will need to make the case that the modules he or she studied elsewhere have resulted in equivalent learning.

17. Students admitted to any degree programme on the basis of APL will not be required to relinquish any previous Higher Education Certificate or Higher Education Diploma award from this or any other higher education institution.

18. The maximum credit for which APL can be offered is one third (i.e. 120 credits) of a 3-year undergraduate degree, one half (i.e. 240 credits) of a 4-year integrated masters degree and one half of the taught component of
postgraduate certificates, taught doctorates and the Integrated PhD. The maximum credit for which APL can be offered on other postgraduate taught programmes (diploma or masters) is 40 credits, unless an individual exemption is approved by the relevant Dean of Postgraduate Studies. Any such exemption is restricted to a maximum of 60 credits. Any deviations to the maximum credit on the taught component of the postgraduate programmes listed above must be considered by University Concessions Committee.

19. In all cases where APL has been approved, the classification of an award shall be determined only on the basis of modules studied at Newcastle University. The board of examiners considering a student who has been admitted to a degree programme with exemption from some modules beyond Stage 1 (on undergraduate programmes) shall ensure that the decision regarding classification is made in accordance with the weighting specified in the degree programme regulations. This requires that it is the average mark on the reduced number of modules studied at Newcastle University that is used in the calculation leading to an award, together with the specified weighting of the stages.

E. Fees

20. Fees and other charges shall be paid at the times prescribed by the University. It is a condition of registration that students have made adequate financial arrangements to cover the cost of all tuition fees and maintenance expenses for the whole period of study at the University.

21. Students who are supported by grant awarding bodies or other sponsors or are deferring tuition fees by means of a fee loan from the Student Loans Company (SLC) shall provide the necessary information for the University to secure payment from the body concerned. Other students will be classified as self-supporting and will be responsible for the payment of their own fees.

22. Home and EU undergraduate students are not required to pay their tuition fees whilst they are a student. Instead, students may choose, if they wish, to defer the payment of all or part of their fees until after they have graduated. In order to defer the payment of fees (in full or in part), students must take out a fee loan through the SLC (Student Loans Company). The SLC will then pay the tuition fee to the University on behalf of the student.

23. Home and EU undergraduate students who choose not to defer their tuition fees will be invoiced for payment in three instalments. Composition fees due from self-supporting students are payable in two instalments: at registration and the following January. Students who do not pay by the due dates may be liable to an administration charge of £45. Details of payment options are available from the Finance Office.

24. Residential charges for students in University accommodation must be paid in accordance with the invoice issued by the Accommodation Office; details of payment options are available from the Accommodation Office. Students who cannot show good cause for late payment, and give a satisfactory undertaking to pay, may be subject to sanctions outlined in the
25. It is the responsibility of students to notify the University, in writing, if they are in financial difficulties and unable to pay their charges by the due date, explaining the reason for the difficulties and their proposals for payment.

26. Where there are any delays in the payments of tuition fees (or other charges relating to academic study at the University), whether by students themselves or by a grant awarding body or other sponsor, and where those students cannot show reasonable cause and give a satisfactory assurance as to payment, the Academic Registrar or nominee may determine an appropriate sanction. Sanctions may include:

(a) suspension of the student's Information Systems and Services (ISS) account, and thus access to University controlled facilities such as ISS clusters and the Library;

(b) denial of the opportunity to sit University examinations or to have assignments assessed;

(c) denial of access to other University facilities, or such sanctions as may be approved from time to time by the Academic Registrar;

(d) exclusion from further study in the University. In special circumstances a student so excluded may be readmitted to the University on the authority of the Academic Registrar, on payment of all outstanding fees and debts to the University together with an administration charge.

27. No degree, diploma or other qualification shall be conferred upon students who have not fulfilled their financial obligations to the University, or are subject to ongoing disciplinary procedures.

F. Discipline

28. Any student who has registered and signed the Declaration is subject to the discipline of the University.

29. All students subject to the discipline of the University are required, at all times during their periods of study, to be of good behaviour, and to observe all regulations affecting them which may be made from time to time by the University or other institutions which they attend as part of a University programme of study.

30. Any student subject to the discipline of the University shall be liable, in cases of misconduct, to such punishment as set out in the Student Disciplinary Procedures at www.ncl.ac.uk/students/progress/. Misconduct may include being found guilty of an offence in the criminal courts.

31. Students are required to make good, to the satisfaction of the University, any damage or injury they may cause to the property of the University, or to any other institution attended as part of a University programme of study, or to the property of individuals.
32. The University is legally required to take such steps as are reasonably practicable to ensure that freedom of speech within the law is secured for members, students and employees of the University and for visiting speakers. This requirement also extends to the use of University premises, which must not be denied to any individual or body of persons, on any grounds connected with the beliefs or views of that individual, or of any member of that body, or with the policy or objectives of that body. All persons subject to the discipline of the University must comply with the code of practice approved from time to time by the University for the purpose of meeting these statutory requirements.

33. The University is legally required to take such steps as are reasonably practicable to ensure adherence of members, students and employees of the University to the Copyright, Designs and Patents Act 1988 and to the Copyright Licensing Agency and Educational Recording Agency Licensing Agreements. Provisions of the Act, and the agreements, are available in all schools, and all persons subject to the discipline of the University must comply with these requirements. Failure to comply with the relevant legislation may result in legal action against individuals and the University.

G. Fraudulent Applications

34. (a) The Academic Registrar may exclude from the University a student who gains admission to the University by either

(i) providing materially false or misleading information or

(ii) not disclosing information that would materially and adversely have affected the determination of the application.

(b) Such an exclusion shall not affect the University's contractual right to

(i) payment for the provision of tuition and other services provided up to the date of exclusion and

(ii) compensation for direct and any consequential loss caused to the University.

35. Any student excluded under the preceding regulation shall have the right of appeal under the University Student Disciplinary Procedures at www.ncl.ac.uk/students/progress/.

36. The Academic Registrar may either: (i) withdraw any offer of admission to study at the University; or (ii) cancel any acceptance of such an offer where the offer has been induced by the provision of materially false or misleading information, or by the non-disclosure of information that would materially have affected the determination of the application for admission.
H. Tutors

37. Every student is assigned to a tutor who is a member of their school’s staff. The requirements to inform the tutor of changes in circumstances, and to attend for interviews with the tutor, are set out in the Progress Regulations for undergraduates and postgraduates.

38. A student may request a change of tutor. The student should consult either the relevant head of school or dean of undergraduate studies or, where appropriate, the dean of postgraduate studies. Advice on how to proceed may be obtained from the Student Progress Service.

J. Registered Students having Sabbatical Status

39. Persons appointed to any office which Senate and Council from time to time approve formally as having sabbatical status must be full-time registered students of the University.

40. Graduates of the University shall be registered as full-time students for the academic year following the year in which they graduate, if elected for that year to one of the offices which Senate and Council from time to time approve formally as having sabbatical status. This also applies for the following academic year, if re-elected to one of these offices.

41. No-one shall hold sabbatical office (or offices) for more than two academic years, whether consecutively or in total. An academic year for the purpose of this regulation shall be defined as the year, or such part of a year served, for which student sabbatical officers are normally elected, which normally commences in July.

42. The special provisions and exemptions which sabbatical officers may claim in respect of University and degree programme regulations are described in the Undergraduate Progress Regulations J45 and J46 at www.ncl.ac.uk/regulations/. These provisions for sabbatical officers shall apply unless such an officer informs the Academic Registrar, by the end of the induction week of Semester 1, of an election not to rely on such provisions and exemptions, in which case the Undergraduate Progress Regulations shall apply normally to the officer concerned.

K. Academic Dress

43. Academic dress in the form prescribed by Senate shall be worn at all graduation ceremonies of the University and at such times and on such occasions as may be prescribed by Senate.

L. University Accommodation

44. All students who take up places in University accommodation shall do so for the full academic year, unless other arrangements are explicitly prescribed for a particular University residence. In exceptional cases or if a substitute is found who is acceptable to the warden in question or where there is no warden, to the Accommodation Office, this rule may be relaxed at the
discretion of the warden or of the Accommodation Office as appropriate. Additionally, students in a hall of residence may apply to transfer to non-catered University accommodation within the first six weeks of the start of the academic year on agreement to pay a fixed transfer fee at a rate to be determined annually by the University.

M. Change of Address
45. Students shall immediately notify their school, faculty or graduate school office of changes to their home or local address. It is particularly important that the school has a student’s contact details during and following the Semester 2 assessment period in order to send details of examination and other assessment results. Students are encouraged to check, through their Personal Development Planner or otherwise, that these details have been correctly recorded. The Personal Development Planner is available at https://pdp.ncl.ac.uk/.

N. Health
46. Students, other than those living at home, are required to bring their National Health Service medical cards with them when they come into residence, and to register under the National Health Service with a local medical practitioner or make other local arrangements.
47. Any student who is suffering from an illness deemed, on the advice of medical authorities, to represent a significant risk to themselves or others shall not attend the University until satisfactory medical evidence is presented that there is no longer any risk.
48. In the event of an infectious illness, the University will consult the Health Protection Agency (HPA) to ensure that appropriate steps are taken to minimise the risk to the student him/herself or to others. Students will be bound by the measures put in place to minimise the risk of spreading of the illness. Such measures may include conditions relating to study patterns or accommodation.

P. Conferment of Qualifications
49. A University qualification shall be deemed to be conferred on publication of the relevant pass list, authorised by the Academic Registrar. However, the University reserves the right to correct any errors that are subsequently identified on such lists.
50. Students who wish to attend their graduation ceremony shall make an application to do so in the form prescribed, and must pay such fees as may be prescribed. Students who fail to apply may be excluded from the ceremonies. Only students on whom a degree has been conferred shall be eligible to attend graduation.
51. Graduation ceremonies shall be held at such times and places, and in such manner as Senate may prescribe.
52. Students whose programme title changes during the course of their degree may seek permission from University Concessions Committee to graduate with the programme title under which they first registered. If such a concession is not requested, students will, by default, graduate with the new programme title.

R. Assessments and Conduct of Examinations

53. All students offering themselves for any examination shall abide by the rules governing the conduct of University examinations published by the Academic Registrar (www.ncl.ac.uk/examinations/RULES.htm). Without prejudice to the generality of the rules governing the conduct of examinations, students shall not in any examination commit any act that constitutes an examination irregularity, including the possession of prohibited materials, the use of any prohibited means of assistance or any dishonest conduct affecting the integrity of the assessment attempt. Regulation 59 shall apply to any such irregularity. Alternative arrangements may be made for students with permanent or temporary disabilities in accordance with the Disability Support Services’ Assessment and Examination Provision (www.ncl.ac.uk/students/wellbeing/disability-support/examinations/).

54. Registration of module choice for a degree programme, or other programme of study, shall constitute registration for the assessment associated with the module concerned. Where a degree programme, or other programme of study, does not involve a registration of module choice, students shall submit, by the end of the induction week, a completed and approved examination entry form for the relevant assessments.

55. Students are required to present themselves for all components of an examination for which they have entered. Students who fail to so present themselves will be subject to the terms of the Examination Conventions, except where the consideration of an ‘aegrotat’ degree is appropriate.

56. Students are responsible for retaining all forms of assessed work returned to them after marking. Assessed work so retained may be recalled from students, if required by external examiners or for examination review purposes, or for quality assessment or audit purposes. Rules governing the arrangements for the retention and recall of assessed work shall be specified in the relevant degree programme handbook.

57. (a) Any person entrusted with the superintendence of a University examination shall, on the discovery of any irregularity in the conduct of a candidate within the examination room, warn the candidate of the nature of the suspected irregularity, confiscate any illicit material, and tell the candidate that a report of this event will be made in writing to the chairman of the board of examiners and to the Academic Registrar. In the case of an examination irregularity, the student will be warned of the nature of the offence. The University’s procedures governing assessment irregularities are available at www.ncl.ac.uk/students/progress/.

(b) The candidate shall be subject to such academic consequences as the board of examiners may determine with regard to the marking of
the work and may also be subject to disciplinary action as determined by the chair of the board of examiners or the Academic Registrar, as appropriate, in accordance with the University Student Disciplinary Procedures. The University's procedures governing assessment irregularities are available at www.ncl.ac.uk/students/progress/staff-resources/procedures.htm

58. Any student whose examination script, or other work submitted for assessment towards a degree, diploma or other qualification to be granted by the University, contains the unacknowledged work of another, either verbatim or in substance, or contains fabricated research results, shall be subject to the provisions of Regulation 59 above.

Extraordinary Examinations

59. In respect of any examination, students may apply for an extraordinary examination if:

(a) they are prevented from attending or completing it by illness or other circumstances acceptable to University Concessions Committee or

(b) they would be seriously disadvantaged by having to wait for the next ordinary occasion of examination.

Application for an extraordinary examination, by or on behalf of a student, shall be submitted to University Concessions Committee in the prescribed manner (www.ncl.ac.uk/students/progress/staff-resources/ucc/index.htm).

60. For purposes of determining the number of occasions on which a candidate may sit an examination, an extraordinary examination counts as the same occasion of examination as the examination for which it was granted.

61. Students:

(a) who fail to present themselves for a component of an examination for which they have entered and

(b) to whom paragraph 59(a) above does not apply shall be awarded a mark of zero for this component of the assessment.

S. Safety

62. The University, through its risk assessments, aims to ensure that this is a safe place for students to study and undertake research. Students and others must comply with the University's arrangements for safety and occupational health which are set out in the University Safety Policy (www.safety.ncl.ac.uk/Home.aspx) and the respective school safety policies. It is especially important that the University fire safety rules are complied with as these are in place in order to protect lives. There are additional specific policy supplements and guidance available on the University Safety Office website and the Occupational Health Service website at www.ncl.ac.uk/occupationalhealth/. Assistance can be obtained from the
school safety officers on all safety and occupational health issues and, if necessary, from the University Safety Office. Failure to comply with the University Safety Policy is a disciplinary matter. For some high hazard work, students may be expressly required by law to undertake training which is provided by the University Safety Office.

T. Disclaimer and Emergency Situations

63. The University shall not be liable for non-performance of any obligation where performance is prevented by acts, events, omissions or accidents beyond the reasonable control of the University including without limitation: strikes, lockouts or other industrial disputes (whether involving the workforce of the party so prevented or of any other party); failure of a utility service or transport network; Act of God, terrorist attack, nuclear, chemical or biological contamination; disease, sonic boom, war, riot, civil commotion, malicious damage; compliance with any law or governmental order, rule, regulation or direction; accident, breakdown of plant or machinery; fire, flood or storm; or the default of suppliers or sub-contractors.

64. Module assessment arrangements approved by the faculty teaching and learning committee may be adjusted by the chair of that committee, in emergency circumstances, if a University-wide emergency has been declared by a resolution of Senate, to approve that a final assessment mark for a module may be based otherwise than on all the normal component assessments, provided, however, that such components amount to at least 50% of the normal assessment requirements. Exceptionally, and only if a Head of School declares that a Board of Examiners cannot be convened or declares that it is unable to make decisions on a significant number of students, the Chair of Faculty Teaching and Learning Committee for the Faculty has the authority to convene a Faculty Review Board to consider the results for all students on the affected programme(s).
II. Undergraduate Progress Regulations

These regulations apply to all undergraduate students registered in academic year 2009/10 (or in the case of C. General Entrance Requirements, are applying during academic year 2009/10).

These regulations shall be understood in conjunction with requirements laid down in the General Regulations and the Examination Conventions of the University, and shall be read together with any examination conventions specific to the relevant degree programme, as approved by the relevant faculty teaching and learning committee.

A. The Qualifications and Credit Framework

1. Since academic year 2006/07 undergraduate Bachelors’ degree programmes have been aligned with the Newcastle University Qualifications and Credit Framework which is available as part of the Quality and Standards Handbook at www.ncl.ac.uk/aqss/qsh/. This Framework sets out the minimum standards for degree programmes; degree programme regulations may exceed these minima. Degree programme structures should be developed in accordance with The Qualifications and Credit Framework.

2. The Newcastle University Qualifications and Credit Framework complies with a national set of reference points for qualifications in Higher Education and, within the European Union, aims for international comparability of awards.

3. The Framework stipulates that undergraduate Bachelors' degrees normally consist of a minimum of 360 credits selected from 3 levels of study: Level 4, Level 5 and Level 6. Integrated Masters degrees consist of a minimum of 480 credits which from 2008/09 will require that at least 120 credits are studied at Level 7. The level of study generally equates to the stages (years) of an undergraduate degree.

B. Definitions

4. Where the following terms appear in these regulations, in degree programme regulations or in the University Undergraduate Examination Conventions, they shall have the meanings assigned below:

   a) Module: A discrete component of a programme of study having stated intended learning outcomes, teaching and learning opportunities designed to achieve those outcomes, and assessment tasks designed to enable students to demonstrate achievement of the outcomes. Modules are allocated credit values and have a defined level;

   b) Credit level descriptors: A description of the defined levels at which a module is taught. These levels are: a) Level 3; b) Level 4; c) Level 5; d) Level 6 and e) Level 7. Full descriptors can be seen as part of The Qualifications and Credit Framework in the Quality and Standards Handbook;
c) **Honours' degree programme**: a 3- or 4-year programme of study consisting of 360 or 480 credits and comprising a number of stages. Each stage consists of 120 credits with the level of modules taken as prescribed in individual degree programme regulations. For a Bachelor's degree, the University’s *Qualifications and Credit Framework* requires a minimum of 90 level 4 (or higher) credits, a minimum of a further 90 level 5 (or higher) credits, and a minimum of a further 90 level 6 (or higher) credits. No more than 40 level 4 credits can be taken beyond Stage 1. Up to 30 level 3 credits can be taken at Stage 1 but not beyond;

d) **Degree classification**: a means of distinguishing between the differences in achievement by individual students of the intended learning outcomes for a degree programme. Only modules studied in Stage 2 and beyond contribute towards the degree classification. Credits for programmes where students intercalate off-campus, normally during their third year, are not generally counted towards degree classification unless this is specified in degree programme regulations. All modules that contribute to the degree classification are referred to as DC (Degree Classification) modules;

e) **Assessment**: A generic term for a set of processes that measure the students’ achievement of the intended learning outcomes in terms of knowledge acquired, understanding developed, skills gained and attributes demonstrated. These assessments may include written, aural and oral examinations, essays, class tests, other course work, dissertations and practical activity;

f) **University Common Scale**: The scale for the return of marks as set out in *Undergraduate and Postgraduate Examination Conventions*. The scale defines the range of marks to be given to represent degree classifications, and is designed to ensure consistency and fairness to students across all modules;

g) **Credit**: A quantitative measure of learning effort. The size of a module, measured by reference to student learning time so that for every 10 credits a student is expected to spend 100 hours in a combination of programmed activities, private study and assessment. Credit is normally awarded for the achievement of a set of specified intended learning outcomes;

h) **Degree programme regulations**: the regulations approved by the University for the programme of study for which a student is registered;

i) **Core module**: a module which students must pass, and in which a fail mark may neither be carried (Convention L41) nor compensated (Convention J32d) such modules are designated by the board of studies as essential for progression to a further stage of the programme or for study in a further module;

j) **Compulsory module**: a module which a student, registered for a degree programme, is required to study;
k) **Pre-requisite module**: A module that is required to be studied (but not necessarily passed) before undertaking a further module that assumes prior knowledge;

l) **Non-modular aggregated assessment**: assessment having the purpose of assessing a student’s cross-modular understanding;

m) **Higher Education Certificate**: the qualification awarded to a candidate on an Honours degree programme who has satisfied the examiners in at least 120 credits worth of study (of which at least 90 are at level 4 or above) and who does not complete the degree programme;

n) **Higher Education Diploma**: the qualification awarded to a candidate on an Honours degree programme who has satisfied the examiners in at least 240 credits worth of study (of which at least 90 credits are at level 5 or above) and who does not complete the degree programme;

o) **Pass degree**: the qualification awarded to a candidate on an Honours degree programme who has satisfied the examiners in at least 300 credits worth of study of which 60 are at level 6, with an average mark of at least 35;

p) **Part-time student**: a student studying no more than 60 credits of a degree programme in one academic year;

q) **Sabbatical office**: any office so designated from time to time by Senate and Council.

C. **General Entrance Requirements**

5. All applications for admission to first degree programmes in the University shall be made through the Universities and Colleges Admissions Service.

6. The normal minimum entry requirement for undergraduate degree programmes at the University is achievement of three single-award General Certificate of Education Advanced level qualifications, or its equivalent.

7. Before being admitted to an undergraduate degree, diploma or certificate programme, candidates shall:

   a) satisfy the programme of study entrance requirements for that degree, diploma or certificate and

   b) satisfy, in the case of applicants whose first language is not English, the required minimum level of English language ability for the programme of study, in accordance with the University’s English Language Policy and

   c) register in accordance with such instructions as the University shall prescribe from time to time and sign the following declaration: ‘I hereby
promise to conform to the discipline of the University and to all statutes, regulations and rules in force for the time being in so far as they concern me’.

8. Where a candidate does not satisfy the requirements in (6) or (7a) above, an undergraduate selector may nevertheless make a conditional or unconditional offer to that candidate, subject to being satisfied that the candidate is, or will be on achievement of any conditions stipulated in the offer, likely to succeed on the programme of study.

Information and advice on the equivalence of international and United Kingdom qualifications can be obtained from the Admissions Team in the Marketing and Communications Directorate.

D. Preconditions for an Undergraduate Award

9. Before being eligible for an undergraduate award from the University, a student must:

(a) satisfy the General Entrance Requirements of the University, and the entrance requirements relevant to the degree programme;

(b) register for, and satisfactorily complete, each stage and its constituent modules;

(c) satisfy the examiners as required under the Examination Conventions and the degree programme regulations.

E. Patterns of Study

Honours Degree Programmes

10. The standard pattern of study and the number of stages for an Honours degree programme shall be as prescribed in The Qualifications and Credit Framework and the relevant programme regulations.

Module Specifications

11. Modules shall have a credit value of at least five and no more than 40 credits, and shall have a total credit value that is a multiple of five. Any departure from these norms shall be subject to approval by the relevant faculty teaching and learning committee.

12. Any module taught in both semesters of the undergraduate academic year shall have a credit value of no fewer than five credits in each semester.

13. Modules shall commence at the beginning of the teaching period of a semester, and conclude at the end of the teaching period of a semester; unless approved otherwise by the relevant faculty teaching and learning committee.

Approval of Non-standard Patterns of Study

14. A degree programme director may permit a full-time Honours degree student to select modules having a total credit value of not less than 50 and
not more than 70 in any one semester, provided that such a student registers for modules having a total credit value of 120 in any one stage.

15. No student may be permitted to register in Semester 2 for a module that is a substitution for a module studied in Semester 1.

16. After completion of the first stage of a degree programme in full-time mode, at the discretion of the degree programme director, a student may be permitted to transfer from full-time to part-time study (or vice versa). This is subject to specific arrangements being agreed by the degree programme director to accommodate the pattern of part-time study. Part-time students will be required to pass each stage of the part-time programme.

17. By General Regulation B12, students may select modules other than those prescribed in their degree programme regulations, subject to permission from the degree programme director. However, such permission shall not override the provisions of General Regulations B9, B10 and B11 (registration of module choice) or paragraphs E14, E15 and E16 of these regulations. Any such permission given under this provision shall be reported by the degree programme director to the relevant board of studies and to the relevant faculty teaching and learning committee.

F. Degree Programme Regulations

Transfer between Degree Programmes

18. Degree programme directors may, subject to the approval of the relevant head(s) of school, permit a student to transfer from one stage of a degree programme to the same stage of another degree programme at any time, provided that there is significant overlap (60 credits or more) in the modules previously studied by the student. This permission also applies to transfers between corresponding stages of 3 and 4 year programmes, provided this permission is given before the start of the examination period in Semester 2 of Stage 3. In addition, degree programme regulations may specify, in the case of 4-year programmes, a threshold for entry into the programme at Stage 2, and one for continuation from Stage 3 to stage 4; students not continuing on the 4-year programme are transferred to the corresponding 3-year programme. Such transfers shall be reported to relevant schools and the Student Progress Service.

19. Degree programme directors may, subject to the approval of the relevant head(s) of school, permit a student who has satisfied the examiners in all the assessments in a stage of a degree programme to transfer to the same or the subsequent stage of another degree programme at the start of the next academic year. Such permission may be conditional upon a student following specified variations to the degree programme in order, for example, to ensure that:

   (a) compulsory modules not previously studied are taken; and

   (b) there is no avoidable repetition of modules studied.

20. The degree programme director may permit a student who has not satisfied the examiners in all the assessments in a stage of a degree programme to transfer to the same stage of another degree programme in
that faculty at the start of the next academic year. The degree programme
director shall, in exercising this power, consult relevant heads of school and
may, on the recommendation of relevant degree programme directors, make
permission to transfer conditional upon a student following specified variations
to the degree programme.

21. A student permitted to transfer under Regulation 16 above having failed
to satisfy the examiners in the assessment for a module which, under the
terms of the permission must be repeated, shall be deemed not to have
previously been assessed in this module.

G. General Provisions Governing Attendance and Progress

Satisfactory Progress

22. The student is required to make satisfactory progress in the relevant
programme of study and, during each semester, the student's progress shall
be reviewed in all modules by the degree programme director.

23. Failure to make satisfactory progress may be grounds for:

(a) monitoring the attendance of the student or requiring the
submission of written work in addition to that required by the degree
programme regulations;

(b) deferral of the student's first attempt at the whole assessment for
the module(s) concerned to the August/September resit
examinations in the same academic year. Where such a deferral is
taken, the student's attempt shall be the second attempt;

(c) interruption or termination of the student's programme of study.

Evidence of Failure to make Satisfactory Progress

24. Any of the following may constitute failure to make satisfactory progress
and all may be taken into account in considering the student's case:

(a) failure to attend for interview with the tutor assigned to the student
at the commencement of each semester, and at such other times
as the tutor may require;

(b) failure to attend regularly the programme of study without good
cause (see General Regulations A4);

(c) failure to perform adequately in work prescribed for the degree
programme;

(d) failure to submit written work required under the degree programme
regulations (whether or not such work counts for assessment
purposes) at the required time;

(e) failure to attend examinations or to satisfy the examiners in the
examinations prescribed; provisional examination results may be
used as such evidence;

(f) failing to attend English language assessment and attend in-
sessional English language classes as directed by the degree
programme director.
Procedure for Dealing with Unsatisfactory Progress

25. A student whose progress is considered unsatisfactory by the degree programme director shall be notified in writing of the reasons for this opinion and given the opportunity of an interview with the director. Following this notice and any interview, and taking account of all known circumstances, the student's attendance, progress and performance may be monitored; this may require the undertaking of special pieces of work. If the student's performance has not improved within two weeks from the date of the written notice, the degree programme director may:

(a) take further action under regulation G23 (a) or (b);
(b) recommend that the University Concessions Committee take action under regulation G23 (c);
(c) extend the two-week period for a further period lasting up to the end of the academic year.

26. Where a degree programme director recommends to University Concessions Committee that a student's programme of study should be interrupted or terminated under regulation G23, the student shall have the right to make oral or written representations to the Committee. After considering any such representations, the Committee shall have the power to apply any of the sanctions for unsatisfactory progress available under regulation G23.

Grounds for Review of Penalties for Unsatisfactory Progress

27. A student applying for review of the decision of a degree programme director or University Concessions Committee made under regulation G25 or G26 may do so only in writing, specifying one or more of the following grounds:

(a) that some irregularity in following the required procedure had occurred;
(b) that new evidence is available which was not considered previously;
(c) that the imposition of the sanction proposed would cause disproportionate hardship to the student.

Procedure for Review of Penalties for Unsatisfactory Progress

28. A student whose first attempt at assessment has been deferred under regulation G23 (b) shall receive written notice and may, within 14 days, apply for review of the sanction to the University Concessions Committee. A student who has applied for review of the sanction shall have the right to make oral and written representations to the Committee within the next 14 days and the degree programme director's decision shall not take effect until such an opportunity has been given. After considering any representations made by the student, the Committee shall have power to confirm or revoke the degree programme director's decision and to substitute any sanction available to the director but may not interrupt or terminate the student's programme of study;

29. Where, acting under regulation G26, University Concessions Committee decides to interrupt or terminate the student's programme of study, the
student may apply to have the case reviewed according to Regulation 30 below, in which case the sanction shall not take effect unless confirmed. The student shall have the right to receive any evidence in writing and to make written and/or oral representations to the Committee. The Committee shall have power to deliberate (but not to receive further evidence or representations) in private. After considering the evidence and any representations, University Concessions Committee may confirm or revoke the previous decision or substitute any lesser sanction available under regulation G23.

30. In any review of a sanction imposed under regulation G23, the chair of University Concessions Committee shall have the power to dismiss the student's application without a hearing if it is manifestly ill-founded or there is no reasonably arguable basis for the grounds alleged in the application.

31. A member of University Concessions Committee shall not sit as a member of University Concessions Committee in reviewing any decision in which that member has previously been involved. If an independent committee of review cannot be properly constituted, the Academic Registrar shall arrange for independent review by the Chair of University Teaching and Learning Committee.

32. In conducting business under this regulation, the Chair of University Concessions Committee may adopt whatever procedure is appropriate, provided that the express requirements of these regulations or of any relevant University code or procedure are followed.

* Nb. Notwithstanding any ongoing discussion and correspondence with a student about unsatisfactory progress, the University may be obliged to report to the UK Border Agency any International student who has failed to attend lectures, classes or seminars.*

**H Module and Aggregated Assessment**

33. There is one final mark for each module but, where module outlines specify, a student may be required to pass specific components of a module in order to be deemed to have passed the module overall.

34. The modes of assessment permitted for each degree programme shall be those specified in the degree programme regulations. The mode(s) of assessment for each module shall be specified in the relevant degree programme handbook. Where the assessment does not take the form of written examinations, rules to be observed by students (for example, in relation to the size, form and submission arrangements for examinable coursework or dissertations, and including rules governing the arrangements for the retention and recall of assessed work) shall be those specified in the degree programme handbook.

35. Modules may:

   (a) be assessed separately; and/or
(b) two or more modules may be aggregated for assessment purposes; and/or

(c) a form of non-modular aggregated assessment may be used in combination with the separate assessment of each module and/or the aggregated assessment of groups of modules.

36. Where assessment is aggregated, modules having a total credit value of up to 40 credits may be combined for the purposes of aggregated assessment, unless the relevant faculty teaching and learning committee approves a higher total credit value for aggregation. In all cases where some form of aggregated assessment is used, the relevant degree programme examination conventions shall determine how the aggregated assessment will be used in accordance with the University Regulations, degree programme regulations and University Examination Conventions governing student progress and degree classification.

J. Provisions for Interruption of Progress

Exclusion for Delayed Progress

37. (a) Any student, whether full-time or part-time, who is two years overdue in passing any stage and

(b) Any full-time student who is three years in arrears with progress in the degree programme

shall be excluded from further study unless given special permission by University Concessions Committee.

Permission for Interruption of Normal Progress

38. Subject to regulation J37 above, the degree programme director may give permission for a student to interrupt normal progress within the degree programme.

Resumption of Progress

39. Where a student:

(a) initially fails all or part of the assessment relating to a stage of a degree programme but later satisfies the examiners, or

(b) interrupts normal progress within a degree programme, or

(c) is exempted from attendance and progress requirements under Regulations J45 and J46 below (provision for sabbatical officers) the student shall be entitled to proceed with the programme of study only under the regulations then applicable to the next and remaining stages of the programme.

Permission to Repeat Tuition

40. A student who:

(a) either fails the assessment relating to a stage wholly or in part; or
(b) who is given permission to interrupt normal progress within a degree programme because of compelling medical or personal reasons may be permitted by the degree programme director, subject to the payment of the appropriate tuition fees, to repeat, wholly or in part, the programme of tuition under the degree programme regulations. The degree programme director may not set aside any existing assessments.

Assessment Requirements for Students Repeating Tuition after Interruption of Study

41. Any student repeating the programme of tuition shall have assessments set aside, (thereby having assessments for the repeated stage deemed to be the first occasion of assessment), only with the express permission of the University Concessions Committee; and

42. Any failure to complete assessments, and any absence from examinations following the point of interruption, shall be set aside on the granting of permission to repeat tuition.

43. Where a student is permitted by the degree programme director to interrupt the programme of study at or after the end of Semester 1 of any stage, and to resume those studies at the beginning of Semester 2 of the same stage in a subsequent academic year, any completed assessments relating to Semester 1 of the stage in question shall be carried forward to the end of that stage.

44. Where a student is permitted by the degree programme director to interrupt the programme of study at any time during a stage and is required to resume those studies at the same point during a subsequent academic year, any assessments completed prior to the withdrawal of the student shall be carried forward to the end of that stage.

Note: unless University Concessions Committee has permitted otherwise, assessments for the repeated stage are deemed to be the second or third occasion of assessment, as appropriate.

Exemption for Sabbatical Officers

45. A student who holds a sabbatical office shall, during the term of office, be exempt from all requirements to attend, make satisfactory progress, and to attend for tutorial interviews.

46. The period during which a student occupies a sabbatical office shall be discounted in calculating the time elapsed on the degree programme.

K. Miscellaneous Provisions

Approval of Study at Another Institution

47. A student may be allowed to follow an approved course of study at another institution, in whole or part substitution for one or more stages of the degree programme, in accordance with arrangements for collaborative
provision in the relevant degree programme regulations or with the permission of the degree programme director.

48. Where standing arrangements governing study at another institution are specified in degree programme regulations, those regulations and the relevant examination conventions govern how the student's performance is assessed during any such period of study and the manner in which this is to contribute to assessment of the student's overall performance.

49. Where no standing arrangements exist, and a student's period of study at another institution is specifically approved by the degree programme director, the student's performance during this period shall be assessed in accordance with the arrangements approved by the degree programme director in granting permission.

Tutors

50. All students are required to see their tutors in order to discuss their progress at the beginning of each semester and at such other times as the degree programme director or the tutor may require. In particular, students may be required to see their tutors during the second semester to discuss their choice of modules for the following academic year.

Students shall notify their tutors at the earliest opportunity of any changes in their circumstances material to their studies.

L. Inconsistency between the University Regulations and the Degree Programme Regulations

51. In the event of any inconsistency between the University Regulations and the degree programme regulations, the University Regulations shall prevail, unless an express departure from the University Regulations has been approved by the University Teaching and Learning Committee or the Regulations Sub-Committee acting on its behalf, and a statement that the degree programme regulations are to have priority has been incorporated within them.

M. Exemptions to these Regulations: MBBS and BDS

52. The MBBS and the BDS programmes are exempt from the requirements of Regulations E, F and H (Patterns of Study, Degree Programme Regulations and Assessment). Alternative arrangements in respect of these programmes are detailed in the degree programme regulations.
III. Undergraduate Examination Conventions

These regulations apply to all students registered on Undergraduate programmes in academic year 2009/10

A. Introduction

1. These conventions shall be understood alongside the definitions of terms in the Undergraduate Progress Regulations, and in conjunction with requirements laid down in the General Regulations of the University, and shall be read together with any examination conventions specific to the relevant degree programme, as approved by the relevant faculty teaching and learning committee.

Note:

Integrated Masters

Integrated Masters Examination Conventions are provided separately in Section IV. Note however, the change to the pass mark of level 7 modules, which may affect Undergraduate students.

Level 7 Modules

The pass mark for level 7 modules is 50. For the sake of clarification, this represents a higher standard of work than the undergraduate (levels 4-6) pass mark of 40. This rule applies to level 7 modules taken as part of an Undergraduate Degree.

B. The Board of Examiners

2. A board of examiners shall be appointed for each award-bearing programme. A board of examiners may be responsible for a number of programmes. Membership of a board of examiners shall include the relevant degree programme directors, named representatives of the main areas of study involved in the programme and the appointed external examiners. The Board of Examiners for those BA and BSc Joint and Combined degrees specified by University Teaching and Learning Committee (UTLC) shall include an external assessor who is required to report to the University on the reliability and integrity of the processes used in the award of these degrees.

3. The membership of each board of examiners shall be proposed by the relevant board of studies and names of the chair and secretary reported to the appropriate faculty teaching and learning committee and to the examinations office.

4. The relevant degree programme directors and named representatives of the main areas of study involved in the programme shall be present at meetings of the board of examiners. The appointed external examiners shall normally be present at meetings of the board at which qualifications are awarded.
5. Where it is necessary to call an additional or reconvened meeting of the board of examiners, the external examiners shall be notified and, if they are unable to attend, shall be given the opportunity to make known in writing their views on the cases to be discussed.

**Chair of the Board**

6. The chair of the board of examiners shall be appointed by the head of school and this appointment reported to faculty teaching and learning committee. The chair is responsible for conducting all meetings of the board, and for ensuring that all decisions are taken by the board in the full knowledge of all the performances for each student. In appropriate cases, the board may delegate to the chair the right to consider and make decisions. In so doing, the chair should consult as many members of the board as possible (including the external examiners). Action taken by the chair must be reported to the next scheduled meeting of the board. The chair shall exercise discretion only in a manner consistent with the normal practices and any additional agreed principles of the board. All agreed mark sheets, confirming decisions taken by the board, shall be signed by the chair.

**Secretary**

7. The board of studies shall appoint a secretary who shall be responsible for ensuring that all members of the board of examiners, including the external examiners, are informed of meetings. The secretary shall also be responsible for keeping a record of all decisions reached by the board. In all cases of the exercise of discretion, the reason for the decision shall be recorded.

**External Examiners and External Assessors**

*Note: Conventions 8-12 also apply to external assessors.*

8. Procedures for appointing external examiners are outlined in the *Policy and Procedures for External Examiners of Taught Programmes* at [www.ncl.ac.uk/aqss/qsh](http://www.ncl.ac.uk/aqss/qsh).

9. The external examiner is required to report to the Vice-Chancellor on the sufficiency and integrity of the examinations, and on the standards of student attainment. In order to carry out this task, the external examiner shall have the right to see any materials relevant to the process of assessment.

10. The external examiner shall be a member of the relevant board of examiners and have the right to attend any meetings of the board. In normal circumstances, no decision on the recommendation of an award may be made by a board of examiners unless there is an external examiner present. If, exceptionally, any external examiners cannot be present, they shall be given the opportunity to make their views known to the board.

11. External examiners shall have the right to speak on any matter at the meeting of the board of examiners, regardless of whether their opinion has been specifically invited. The board of examiners shall take into account, but need not defer to, the views of external examiners in taking decisions.

12. Final classification lists shall be signed by the chair and, normally, by the external examiners. The external examiners shall make an annual report (and
a final report at the end of their period of duties) to the Vice-Chancellor. These reports may include comments and recommendations. In addition, external examiners may make a confidential report at any time on any matter to the Vice-Chancellor.

13. The assessment of the work of students on co- and multi-disciplinary programmes (including the BA and BSc Joint and Combined degrees specified by UTLC) is subject to the normal examination processes and scrutiny by external examiners in the relevant subjects. In addition, a faculty examination board for co- and multi-disciplinary programmes shall also be convened to review these programmes; an external assessor shall be appointed to this faculty examination board by the appropriate faculty teaching and learning committee, in line with the criteria laid down for external examiners. The external assessor will not scrutinise the work of students, but is required to report to the University on the reliability and integrity of the processes used in awarding these degrees.

Scrutiny Sub-Committee

14. A scrutiny sub-committee of the board of examiners shall be appointed by each board of studies to review and consider medical and mitigating circumstances which may have affected a student’s performance. The sub-committee shall consist of the chair and secretary of the board of examiners and one other senior member of academic staff. If the secretary is not a member of academic staff then a third senior member of academic staff must be appointed to the scrutiny sub-committee. The chair of the board of examiners shall report the sub-committee’s recommendations to the board in all cases. The board shall, accordingly, be made aware if medical or mitigating circumstances have been put forward for or by a student; however, no more detail than is necessary shall be disclosed, and this shall include no personal or medical details. All personal information shall be handled by the board in accordance with the requirements of the Data Protection Act.

15. Students shall be informed annually by notice (in electronic or paper form) of the procedure and timetable for notifying the scrutiny sub-committee of any relevant mitigating circumstances. Notification shall normally be in writing. A student who fails to disclose relevant circumstances to the examiners at least 24 hours before the scrutiny sub-committee meets, and who later applies for a review of the decision of the board, will be required to state the reason for not making the evidence known earlier.

Procedures

16. In any debate by the board of examiners in respect of a student under consideration, members of the board who contribute to the debate shall declare any personal (i.e. non-academic) interest. It is advised that, normally, any such member should take no part in the debate.

17. Notwithstanding any numerical or other conventions, the board of examiners shall have discretion to pass any student, in the whole (or any part) of the assessment, at any stage (Conventions 38-40).

18. Where the board of examiners is unable to reach a decision on any issue by common consent, a vote shall be taken and the matter shall be decided by
the majority of members then present and voting. The academic members of the board, including the external examiners and the chair, shall each have one vote. In the event of a tied vote, the chair shall have a casting (i.e. second) vote.

19. As soon as possible, following the meeting of the board of examiners, students will be notified of the decisions of the board by the secretary to the board. In the case of final year students, the Academic Registrar will, in addition, normally publish the decisions of the board within 48 hours of the meeting of the board.

C. Absence from Examinations, Failure to Submit Assessed Work and Assessment Irregularities

20. Where a student has been absent for any reason from an examination, a mark of zero shall be returned for that component of the assessment. Where a student has failed to submit any other element of the assessment, a mark of zero shall be returned for that element. Any late submissions must be considered in line with the University's Policy on Late Submission of Assessed Work, available at www.ncl.ac.uk/aqss/qsh/examinations_and_assessment/late_submission.pdf

21. Where a student has failed to comply with any other assessment requirement, the consequence, if any, stipulated in the degree programme handbook shall apply.

22. The University's procedure for assessment irregularities shall apply to any reported or suspected cheating or plagiarism. It should be clear that sanctions imposed under the Assessment Irregularity Procedure take precedent over Board of Examiners, and therefore cannot be overturned. The procedures are available at:
www.ncl.ac.uk/students/progress/staff-resources/procedures.htm.

D. Aural and Oral Examinations

23. The details of any aural or oral assessment must be published in the appropriate degree programme handbook. The chair of the appropriate board of examiners shall be responsible for ensuring that students are informed of the timing and form of any such assessment.

E. Marking Procedures

24. It shall be a duty of all examiners to carry out all assessments in accordance with the published assessment criteria approved by faculty teaching and learning committee and normally available in degree programme handbooks.

25. The following shall constitute the procedure and, where appropriate, minimum requirements, for marking throughout the University. This takes into account the significance of the assessment, the type of the assessment, and the experience of the marker:
(a) All marking shall be guided by explicit statements of standards, which shall be published in the degree programme handbook;

(b) Each board of examiners shall have an explicit, written policy on the application of scaling and other standardisation of marks on the University Common Scale and on the system to be followed to reconcile differences in marks between markers on the same module;

(c) Assessments shall be marked, internally moderated, and the outcomes and process monitored by the external examiner(s). Moderation is a process whereby module marks for a cohort are scrutinised with a view to forming a secure judgement about the validity of the overall mark proposed for the assessment(s) for the module. Moderation may take the form of checking, second marking of all scripts, or second marking of a sample of scripts, and may, additionally, take the form of confirmation/adjustment by a module moderation board before the marks are returned to the board of examiners.

(d) Marking of assessments by a marker with less than one year's experience of academic marking to this University's standard should be moderated by a more experienced marker.

F. Return of Marks

26. The mark for each module on an Honours degree programme shall be returned to the board of examiners, and disclosed to students, using one of the established University Common Scales below, either the Degree Classification (DC) Scale or the one applicable to modules not used for degree classification:

<table>
<thead>
<tr>
<th>Summary description applicable to level 7 Degree Classification (DC) Modules</th>
<th>Summary description applicable to Degree Classification (DC) Modules below level 7</th>
<th>Summary description applicable to modules not used for degree classification</th>
</tr>
</thead>
<tbody>
<tr>
<td>0-39 Fail</td>
<td>Fail</td>
<td>Failing</td>
</tr>
<tr>
<td>40–49 Fail</td>
<td>Third Class</td>
<td>Basic</td>
</tr>
<tr>
<td>50–59 Second Class, Second Division</td>
<td>Second Class, Second Division</td>
<td>Good</td>
</tr>
<tr>
<td>60–69 Second Class, First Division</td>
<td>Second Class, First Division</td>
<td>Very Good</td>
</tr>
<tr>
<td>70-100 First Class</td>
<td>First Class</td>
<td>Excellent</td>
</tr>
</tbody>
</table>
27. The final mark returned to the board of examiners for a module, or for any non-modular aggregated assessment, shall be the rounded nearest whole number on the University Common Scale. The rounding of marks shall follow the convention: decimal marks with a decimal component of 0.5 or larger shall be rounded up to the next whole number; marks with a decimal component of less than 0.5 shall be rounded down to the next whole number.

G. Publishing and Adjusting Marks

28. Marks awarded for course work shall be disclosed to students once they are available. It should be made clear to students that such marks are provisional and will be subject to review, and to possible moderation.

29. Provisional module marks awarded at the end of the Semester 1 assessment period shall be disclosed once they are available, but it should be made clear to students that the marks are provisional and will be subject to review and to possible moderation.

30. Any adjustment of marks of a cohort (such as scaling and standardisation, and including those requested by the external examiners) shall take place prior to the meeting of the board of examiners. Once marks have been returned to the board of examiners they shall not be adjusted, except that the correction of errors in the transcribing of marks is permitted. It should be noted that the conventions governing the award of classes of degrees and particularly the use of discretion by the board of examiners, shall not result in any adjustment of marks.

H. Progression from One Stage to Another

31. A student is permitted to proceed from one stage to the next of the programme of study if the student passes, or is deemed to have passed, all the modules in the current stage, or the stage is passed by discretion, exercised under Conventions 38-40, notwithstanding failures in specific modules. In this last case, the individual modules are not deemed to have been passed, and any subsequent calculations must use the best actual mark for each. Additionally, a student may proceed by carrying fails (Convention 41).

J. Principles of Compensation

32. At Stages 0, 1 and 2 of degree programmes (and at Stage 3 where the final stage is Stage 4) a student shall, on assessment and any reassessment, be deemed to have passed all modules at the stage and to be eligible to progress to the next stage of the degree programme, notwithstanding that marks of less than 40 have been obtained in one or more modules for that stage, provided that each of the following conditions for compensation are met:

(a) the average mark over all modules at that stage, taking due account of the credit value, is not less than 40;
(b) no single mark for any module of levels 4-6 assessed is below 35;
(c) no single mark for any level 7 module assessed is below 40;
(d) module marks less than 40 (levels 4-6) or 50 (level 7) are compensated at that stage, provided the total credit value of these modules does not exceed 40 (out of the 120 credits studied);
(e) no such compensation is permitted for core modules (UG Progress Regulations B 4(i)).

A student who passes all modules by compensation will thereby pass the stage and will be eligible to progress to the next stage of the programme.

33. All calculations used to determine a student's right to pass modules by compensation (under Convention 32) must use the best module marks that relate to a given stage, regardless of whether the assessments are first or later attempts.

34. The credit value of all modules must be taken into account when calculating the overall stage average, or applying compensation. Degree programme regulations may allow for additional credit value for non-modular aggregated assessment.

35. In any case where any form of non-modular aggregated assessment is used at Stages 1 and 2 of Honours degree programmes (and at Stage 3 where the final stage is Stage 4), the relevant degree programme regulations shall specify whether compensation may be applied to the non-modular aggregated assessment and, if so, the relevant degree programme examination conventions shall set out how such compensation may be applied.

36. The principles of compensation (Conventions 32-35) shall also apply to any consideration for the award of a Higher Education Certificate or Higher Education Diploma.

37. Where the rules for compensation do not apply, the board of examiners may still exercise discretion under Conventions 17, 38-40

K. Principles of Discretion

38. Notwithstanding the student's results, and without prejudice to the requirements for professional accreditation, the board of examiners may, in its ultimate discretion:

(a) deem a student to have passed specific modules – including core modules,

(b) deem a student to have passed the stage of a programme.

(c) recommend a final stage student, or other student eligible to leave the University with an award, for a higher award or degree classification (See conventions 54-57).

39. The exercise of discretion does not set a precedent as each individual case should be considered individually. However, in any discussion regarding
the possible exercise of discretion, the board shall ensure that no student in similar circumstances has been treated less favourably.

40. The reasons for exercising or not exercising discretion shall be recorded in the minutes of the proceedings in every case where the exercise of discretion is considered, both those where such consideration is required under Convention 54 or where it is considered on other grounds. The minutes shall record the issues raised and the decisions reached, whilst maintaining, wherever possible, the anonymity of board members contributing to the debate. The minuted instances of discretion shall be considered by the board of studies and subsequently sent in an annual anonymised summary report to faculty teaching and learning committee.

L. Permission to Proceed Carrying Fails

41. A student who passes all core modules but fails up to 20 credits of non-core modules, may proceed as of right to the next stage of the programme. In such circumstances, a student will follow the normal pattern of study and assessment for the subsequent stage, in addition to being reassessed in the failed modules. Subject to the provisions of Convention 49 a student who is unsuccessful on the third occasion of assessment of those modules carried forward, will not be permitted to proceed unless passed by the discretion of the board of examiners, regardless of the performance in the subsequent stage. This applies, in particular, to modules at Stage 1 that have not been passed at the third attempt; however, a board of examiners may, in light of the student’s subsequent and overall performance, apply its discretion either to pass individual modules at Stage 1 or to pass the Stage notwithstanding the failures in up to 20 credits at Stage 1. In accordance with Conventions 65 and 63, a student not permitted to proceed may be considered for the award of a Higher Education Certificate or Higher Education Diploma.

42. A student is permitted to take a year out of residence in order to redeem the failed modules, subject to the approval of the degree programme director.

M. Reassessment

43. A student who passes a module (including by compensation or discretion), at any stage of the degree programme, cannot be reassessed for any component of that module.

44. Other than at the final stage of an Honours degree programme, a student who fails a module has the right to a maximum of two further attempts (Conventions 46 & 47). A student at the final stage of an Honours degree programme shall, under the conditions laid down in Conventions 48 and 58, have the right to one further attempt.

45. The form of the reassessment at any stage may vary from the original, at the discretion of the board of studies. Note that the board of studies may delegate this authority to the board of examiners, but that the students who are to be reassessed must be informed of the style of reassessment to be adopted.
Timing of reassessment at any stage other than the final stage

46. Second Attempt
   (a) A student who has the right to a second attempt will automatically be entered for failed modules (and any failed non-modular aggregated assessments) at the next available occasion of assessment (normally in August/September of the same academic year as the first attempt);
   (b) A student may apply to University Concessions Committee to defer the second attempt until the following academic year, provided evidence of appropriate mitigating circumstances is presented;
   (c) A student required, under degree programme regulations, to spend a period outside the United Kingdom, or take up a placement within the United Kingdom, during the reassessment period in August/September may, subject to the approval of the degree programme director, elect to be reassessed in the following August/September.

47. Third Attempt
   A student who has the right to a third attempt, shall do so at the next occasion of assessment, during the assessment period(s) at the end of the appropriate semester(s). However, a request to University Concessions Committee for an alternative time of assessment can be made under the same conditions as described in Convention 46(b).

Timing of reassessment at the final stage of a degree programme

48. Second Attempt
   A student who has the right to enter for a second attempt only at all or some of the assessment relating to the final stage of a degree programme (see Convention 58), shall be entitled to be reassessed in all modules failed and in any failed non-modular aggregated assessment. The reassessment will normally be in the August/September of the academic year of the first attempt, unless there is a requirement to repeat laboratory or other practical elements; this reassessment will be at the next normal occasion or at an alternative occasion designated by the board of examiners.

N. The Award and Classification of Degrees

49. A student is recommended, as of right, for the award of an appropriate Honours degree (according to Convention 53) if all the requirements for the award are met, and
   (a) all the modules in the degree programme are passed, or
   (b) no more than a maximum of 20 credits beyond Stage 1 are failed and:
   (c) the appropriately weighted average (according to the Degree Programme Regulations) at the end of Stage 3 is not less than 40
50. Marks from all modules studied at Stages 2 and 3 (or at Stages 2, 3 and 4 of a 4-stage programme) are used to determine degree classification and so the marks for these modules must be returned using the University Common Scale (DC Scale); note that appropriate modules taken during an intercalating year, in accordance with the degree programme regulations, may be excluded from the calculation.

51. Any non-modular aggregated assessment at Stage 2, Stage 3 and, where appropriate, Stage 4, may contribute to degree classification as specified in the relevant degree programme regulations.

52. The degree programme regulations shall specify the weight to be given to each stage beyond Stage 1. An average shall be calculated to one decimal place for each stage. These averages shall be combined, according to the prescribed weightings, to one decimal place and then rounded to the nearest whole number according to Convention 27. For a 3-year programme, the weighting Stage 2: Stage 3 shall be one of 1:1, 1:2, 1:3 unless UTLC has approved an exemption. For a 4-year programme (unless Stage 3 is regarded as an intercalating year – see Convention 50) the weighting Stage 2: Stage 3: Stage 4 shall be one of 1:2:2; 1:3:3; or 1:2:3 unless UTLC has approved an exemption.

53. Students shall be entitled, as of right, to the class of degree yielded by the weighted average mark for all modules (and all non-modular aggregated assessments) which contribute to degree classification. The mark for a failed module that is used for the purposes of classification (but subject to Examination Convention 48 and 58c (ii)) shall be the best mark obtained by the student on that module.

**Use of Discretion**

The Board of Examiners under Conventions 17, 38 - 40 has a general power to exercise discretion to treat any student more generously than the numerical and other conventions require.

54. The board of examiners **must** consider whether students should be awarded a higher classification of degree by the exercise of discretion in the following cases:

   (a) Where there is a positive assessment of the impact of medical or other mitigating circumstances by the Scrutiny Sub-Committee (Convention 14). Discretion may be applied to progression or to classification decisions.

   (b) Where students have weighted averages of 68 or 69, 58 or 59, 48 or 49, 38 or 39 (after rounding of marks).

The board of examiners, in determining the manner in which it shall exercise this power for each student, shall have regard to the following:

   (i) the overall profile of individual marks achieved in modules;

   (ii) exceptional performance by the student in any particular module, including, for example, research-based modules or in an oral examination where this is part of the degree programme regulations;
(iii) progressive improvement in performance by the student during the final 2 (or 3) stages of study, unless already taken into account by the stage weighting;

(c) The board may also use discretion to recommend the award of an Honours degree of any class to a student who has not been recommended for the award of an Honours degree under Convention 53.

55. The University does not permit the use of a viva voce either as a means of monitoring standards or for determining whether a higher classification should be recommended.

56. In any discussion regarding the possible exercise of discretion, the board shall ensure that no student in similar circumstances has been treated less favourably as a result of any particular decision. The reasons for recommending or not recommending a higher class of degree shall be recorded in the minutes of the proceedings. The minutes shall record the issues raised and the decisions reached, whilst maintaining, wherever possible, the anonymity of board members contributing to the debate. The minuted instances of discretion shall be considered by the board of studies and subsequently sent in an annual report to faculty teaching and learning committee. No student shall be identified in this report.

P. Recording of Module Marks after Reassessment, Compensation or Discretion

57. Where a student has achieved a passing mark following reassessment at any stage, including the final stage, or has been deemed to have passed in an assessment by the exercise of compensation or discretion, the mark used by the board of examiners, shall be a mark of 40 (or 50 for level 7 modules) except for the purposes of compensation (J33). The mark achieved by the student must be recorded on the transcript, with an appropriate note if compensation or discretion has been applied, and a statement that a mark of 40 (or 50) will be used in any calculations. However, in such cases, the board of examiners may, in its ultimate discretion, have regard to the actual mark obtained at the second or third occasion of assessment.

R. Failing Performance by Honours Degree Students

58. A student who, following a first attempt at the final stage, has not been recommended for the award of an Honours degree under Convention 49 or by the use of discretion under Convention 54, has a number of options. Subject to any recommendations made by the board of examiners under Conventions 60, 63 and 65, the student must elect whether to accept a Pass degree or a Higher Education Diploma, or a Higher Education Certificate, or to proceed to one reassessment of some or all failed modules, or to withdraw from the programme. The various routes available are:

(a) The board of examiners may recommend the student for the award of a Pass degree (subject to Conventions 60 and 61).
(b) The board of examiners may recommend the award of a Higher Education Diploma (subject to Convention 63) or a Higher Education Certificate (subject to Convention 65).

(c) Notwithstanding the options described in a) and b) above, a student may elect to be reassessed in the failed modules, subject to:
   
   (i) the maximum recommendation available after reassessment is a third class Honours degree and discretion may not be applied to award a higher class than this;

   (ii) in the event that the student’s performance at reassessment is less than that at the first attempt, the assessment at the second attempt will be used to calculate the entitlement. (For example, a student who has an average of 36 at the first attempt, and so would have been eligible for a Pass degree, but who then obtains 32 at reassessment, will no longer as of right, be eligible for the award of a Pass degree.)

Note: The conditions for the award of a Certificate could occur at the completion of Stage 3 e.g. 120 credits at Stage 1, but only 100 credits at Stage 2: 20 carried into Stage 3, and these plus all at Stage 3 failed.

59. Students recommended by the board of examiners for the award of an Honours degree after the first occasion of assessment, may not enter for reassessment.

Note: The chair of the board shall, in the return of marks to the examinations office, make clear that a student has an automatic right to resit final stage modules, when a Pass degree, Higher Education Diploma, or Higher Education Certificate is recommended by the board. The chair of the board of examiners shall then consult the student as soon as possible to confirm whether the student wishes to receive the Pass degree, Higher Education Diploma or Higher Education Certificate to which he or she is entitled, or to proceed to re-assessment. The student must advise the chair of the board of examiners in writing, and within a period laid down by the chair.

S. Recommendation of other than an Honours Degree

Pass Degree

60. A candidate for an Honours degree, who is not recommended for Honours under the preceding conventions, may be considered by the board of examiners for the award of a Pass degree. A Pass degree shall be recommended, as of right, to a student who has satisfied the examiners in at least 300 credits, of which 60 must be at level 6, provided that the student’s average mark is calculated as for an Honours degree student (under Conventions 50-52), and is not less than 35.

61. A student who is not entitled to a Pass degree under Convention 60 may be recommended for a Pass degree by the board of examiners, using its ultimate discretion, following the principles laid down in Conventions 54-56.
62. The award of a Pass degree is not classified and, unless specific recognition arrangements are in place, carries no professional accreditation. The degree will be ‘Pass degree in X’ corresponding to the ‘Honours degree in X’ for which the student was a candidate.

**Higher Education Diploma**

63. A candidate for an Honours degree who has satisfied the examiners in at least 240 credits, of which at least 90 credits are at level 5 or above, may be awarded a Higher Education Diploma in that programme, typically when:

   (a) the student is entitled to proceed into Stage 3, but instead elects to withdraw from study at the University; or
   
   (b) the student elects to withdraw from study at the University during Stage 3 of the programme;
   
   (c) the student leaves the programme to transfer to an unrelated programme within the University, without carrying forward any credit
   
   (d) the student fails to satisfy the examiners for the award of the Honours degree or Pass degree.

64. The award of a Higher Education Diploma is not classified and, unless specific recognition arrangements are in place, carries no professional accreditation. The diploma will be ‘Higher Education Diploma in X’ corresponding to the ‘Honours degree in X’ for which the student was a candidate.

**Higher Education Certificate**

65. A candidate for an Honours degree who has satisfied the examiners in at least 120 credits, of which at least 90 are at level 4 or above, may be awarded a Higher Education Certificate in that programme, typically when:

   (a) the student is entitled to proceed into Stage 2, but instead elects to withdraw from study at the University; or
   
   (b) the student elects to withdraw from study at the University during Stage 2 or Stage 3 of the programme; or
   
   (c) the student leaves the programme to transfer to an unrelated programme within the University, without carrying forward any credit
   
   (d) the student fails to satisfy the examiners in Stage 2 or Stage 3 of the programme.

66. The award of a Higher Education Certificate is not classified and, unless specific recognition arrangements are in place, carries no professional accreditation. The certificate will be ‘Higher Education Certificate in X’ corresponding to the ‘Honours degree in X’ for which the student was a candidate.
T. **Subsuming of Awards**

67. A student awarded an Honours degree or Pass degree will not be eligible for the awards of a Higher Education Certificate and/or a Higher Education Diploma for the same programme of study. Similarly, students awarded a Higher Education Diploma will not be eligible for the award of a Higher Education Certificate for the same programme of study.

U. **Aegrotat**

68. The board of examiners may award an Aegrotat degree to a student who has registered for the final stage of the programme but who presents sufficient evidence of ill health or any other extenuating circumstance such that, in the judgement of the board, there is no reasonable possibility that the student can complete the degree programme. When considering the option of recommending this award, boards of examiners should be mindful of the possibility of seeking a concession to enable the student to sit the assessments at a later date, and so be eligible for a classified degree. In addition, the board should consider the appropriateness of recommending the award of a Higher Education Diploma or Certificate.

69. It is not open to the board to grant an Aegrotat to students registered on certain professionally accredited programmes. A student to whom an Aegrotat is awarded shall be deemed to have obtained Honours but without classification.

*Note: the Student Progress Service should be consulted prior to the award of Aegrotat degrees.*

V. **Retention of Assessed Work**

70. All material for assessment, which significantly contributes to final degree classification, should be retained for a period of one year after the award of the degree or other qualification.

W. **Exemptions to these Conventions: MBBS and BDS**

71. The MBBS and BDS programmes are exempt from the requirements of the *Undergraduate Examination Conventions* which relate to assessment, reassessment and the use of the University Common Scale. See [www.ncl.ac.uk/regulations/programme/2009-2010/med.php](http://www.ncl.ac.uk/regulations/programme/2009-2010/med.php)
IV. Integrated Masters Examination Conventions

These regulations apply to all students registered on Stages 1, 2 or 3 of Integrated Masters programmes in academic year 2009/10

Additional notes:

Definition of Integrated Masters
Integrated Masters programmes are Undergraduate degrees with a total credit value of 480 credits and a minimum of 120 credits at level 7.

A list of Integrated Masters programmes provided by the University is available as part of the Quality and Credit Framework: www.ncl.ac.uk/agss/gsh/QCFComplete.xls

Pass mark
The pass mark for level 7 modules and for the award of an Integrated Master’s degree is 50. For the sake of clarification, this represents a higher standard of work than the undergraduate (levels 4-6) pass mark of 40. This rule applies to level 7 modules taken at Stage 3, where there may be a mixture of level 6 and level 7 modules.

Implementation dates
These Examination Conventions outline the principles of Integrated Masters awards. The changes come into force in 2009/10 and will be phased in for existing students from that year.

First Phase:

Students beginning Integrated Masters programmes in 2009/10 will come under these regulations for the duration of their degree programme.

Students entering stage 2 of an Integrated Master’s programme in 2009/10 will need to meet the progression threshold specified in the degree programme regulations at the end of the stage in order to progress to stage 3 of the programme.

Students entering stage 3 in 2009/10 or later will be required to meet the 50 pass mark on any Level 7 modules, and meet the progression threshold specified in the degree programme regulations by the end of that Stage (summer 2010).

Stage 4 students will not be affected.
A. Introduction

Conventions 1-25 of the Undergraduate Examination Conventions shall apply to Integrated Masters Programmes

F. Return of Marks

26. The mark for each module on an Integrated Masters degree programme shall be returned to the board of examiners, and disclosed to students, using the established University Common Scales below, depending on the level of the module.

<table>
<thead>
<tr>
<th>Level</th>
<th>Summary description applicable to level 7 Degree Classification (DC) Modules</th>
<th>Summary description applicable to Degree Classification (DC) Modules below level 7</th>
<th>Summary description applicable to modules not used for degree classification</th>
</tr>
</thead>
<tbody>
<tr>
<td>0-39</td>
<td>Fail</td>
<td>Fail</td>
<td>Failing</td>
</tr>
<tr>
<td>40–49</td>
<td>Fail</td>
<td>Third Class</td>
<td>Basic</td>
</tr>
<tr>
<td>50–59</td>
<td>Second Class, Second Division</td>
<td>Second Class, Second Division</td>
<td>Good</td>
</tr>
<tr>
<td>60–69</td>
<td>Second Class, First Division</td>
<td>Second Class, First Division</td>
<td>Very Good</td>
</tr>
<tr>
<td>70-100</td>
<td>First Class</td>
<td>First Class</td>
<td>Excellent</td>
</tr>
</tbody>
</table>

27. The final mark returned to the board of examiners for a module shall be the rounded to the nearest whole number on the University Common Scale.

The rounding of marks shall follow the convention: decimal marks with a decimal component of 0.5 or larger shall be rounded up to the next whole number; marks with a decimal component of less than 0.5 shall be rounded down to the next whole number.

G. Publishing and Adjusting Marks

Conventions 28-30 of the Undergraduate Examination Conventions shall also apply to Integrated Masters awards.
H. Progression from One Stage to Another

31. Subject to meeting the internal progression thresholds described below, a student is permitted to proceed from one stage to the next of an Integrated Masters programme if the student passes, or is deemed to have passed, all the modules in the current stage, or the stage is passed by discretion, exercised under Conventions 38-40, notwithstanding failures in specific modules. In this last case, the individual modules are not deemed to have been passed, and any subsequent calculations must use the best actual mark for each. Additionally, a student may proceed by carrying fails (Convention 41). To progress on an Integrated Masters programme, a student must meet the internal progression thresholds at the end of Stages 2 and 3. Students not meeting the threshold at the end of Stage 2 will be transferred onto the appropriate Bachelor's degree programme (UG Progress Reg F14). Students not meeting the threshold at the end of Stage 3 will not be permitted to progress to Stage 4 and will be considered for the appropriate Stage 3 exit award applying the principles of the examination conventions for students on a 3 year degree. Note that the principles of discretion (Conventions 38-40) apply to consideration of the threshold.

The thresholds for all Integrated Masters Programmes shall be stated in the degree programme regulations for each award, but must as a minimum be:

Stage 2 to 3 – stage average of 50
Stage 3 to 4 – stage average of 50

The averages are those obtained after taking account of passes by compensation, passes by discretion and passes at resit.

J. Principles of Compensation

32. At Stages 1, 2 and 3 of degree programmes a student shall, on assessment and any reassessment, be deemed to have passed all modules at the stage, notwithstanding that marks of less than 40 have been obtained in one or more modules of levels 4-6 or marks of less than 50 in one or more level 7 modules for that stage, provided that each of the following conditions for compensation are met:

(a) the average mark over all modules at that stage, taking due account of the credit value, is not less than 40;

(b) no single mark for any module of levels 4-6 assessed is below 35;

(c) no single mark for any level 7 module assessed is below 40;

(d) module marks less than 40 (levels 4-6) or 50 (level 7) are compensated at that stage, provided the total credit value of these modules does not exceed 40 (out of the 120 credits studied);

(e) no such compensation is permitted for core modules (UG Progress Regulations B 4(i)).
A student who passes all modules, including modules passed by compensation, and who meets the threshold requirements in H31 will thereby pass the stage and will be eligible to progress to the next stage of the programme.

33. All calculations used to determine a student's right to pass modules by compensation (under Convention 32) must use the best module marks that relate to a given stage, regardless of whether the assessments are first or later attempts.

34. The credit value of all modules must be taken into account when calculating the overall stage average, or applying compensation. If Stage 3 contains a mixture of level 6 and level 7 modules, the overall stage average shall be the weighted average of the marks. There should be no difference in weightings because of the level of the module in the University’s Qualifications Framework.

35. In any case where any form of non-modular aggregated assessment is used at Stages 1, 2 and 3 of the degree programme, the relevant degree programme regulations shall specify whether compensation may be applied to the non-modular aggregated assessment and, if so, the relevant degree programme examination conventions shall set out how such compensation may be applied.

36. The principles of compensation (Conventions 32-35) shall also apply to any consideration for the award of a Bachelor's degree, a Higher Education Certificate or Higher Education Diploma.

37. Where the rules for compensation do not apply, the board of examiners may still exercise discretion under Conventions 17, 38-40.

K. Principles of Discretion

Conventions 38-40 of the Undergraduate Examination Conventions apply to Integrated Masters Programmes.

L. Permission to Proceed Carrying Fails

41. A student who passes all core modules but fails up to 20 credits of non-core modules, may proceed as of right to the next stage of the programme. In such circumstances, a student will follow the normal pattern of study and assessment for the subsequent stage, in addition to being reassessed in the failed modules. Subject to the provisions of Convention 49 a student who is unsuccessful on the third occasion of assessment of those modules carried forward, will not be permitted to proceed unless passed by the discretion of the board of examiners, regardless of the performance in the subsequent stage. This applies, in particular, to modules at Stage 1 or 2 that have not been passed at the third attempt; however, a board of examiners may, in light of the student’s subsequent and overall performance, apply its discretion either to pass individual modules at Stage 1 or 2 or to pass the Stage notwithstanding the failures in up to 20 credits. For Stage 2 modules, the board must consider the academic consequences of their use of discretion, as Convention 49 (a) will still apply.
In accordance with Conventions 58, 65 and 63, a student not permitted to proceed may be considered for the award of a Bachelor's Degree, a Higher Education Certificate or Higher Education Diploma, applying the principles of the examination conventions for 3 year degree students.

42. A student is permitted to take a year out of residence in order to redeem the failed modules, subject to the approval of the degree programme director.

M. Reassessment

NB. The rules in this section should be read in conjunction with Convention 31 above which defines the thresholds for progress from Stage 2 to Stage 3 and from Stage 3 to Stage 4.

43. A student who passes a module (including by compensation or discretion), at any stage of the degree programme, cannot be reassessed for any component of that module.

44. Other than at the final stage of an Integrated Masters degree programme, a student who fails a module has the right to a maximum of two further attempts (Conventions 46 & 47). A student at the final stage of an Integrated Masters degree programme shall, under the conditions laid down in Conventions 48 and 58, have the right to one further attempt.

45. The form of the reassessment at any stage may vary from the original, at the discretion of the board of studies. Note that the board of studies may delegate this authority to the board of examiners, but that the students who are to be reassessed must be informed of the style of reassessment to be adopted.

Timing of reassessment at any stage other than the final stage

46. Second Attempt

(a) A student who has the right to a second attempt will automatically be entered for failed modules at the next available occasion of assessment (normally in August/September of the same academic year as the first attempt);

(b) A student may apply to University Concessions Committee to defer the second attempt until the following academic year, provided evidence of appropriate mitigating circumstances is presented;

(c) A student required, under degree programme regulations, to spend a period outside the United Kingdom, or take up a placement within the United Kingdom, during the reassessment period in August/September may, subject to the approval of the degree programme director, elect to be reassessed in the following August/September.
47. **Third Attempt**

A student who has the right to a third attempt, shall do so at the next occasion of assessment, during the assessment period(s) at the end of the appropriate semester(s). However, a request to University Concessions Committee for an alternative time of assessment can be made under the same conditions as described in Convention 46(b).

**Timing of Reassessment at the final stage of an Integrated Masters degree programme**

48. **Second Attempt**

A student who has the right to enter for a second attempt only at all or some of the assessment relating to the final stage of a degree programme (see Convention 58), shall be entitled to be reassessed in all modules failed and in any failed non-modular aggregated assessment. The reassessment will normally be in the August/September of the academic year of the first attempt, unless there is a requirement to repeat laboratory or other practical elements; this reassessment will be at the next normal occasion or at an alternative occasion designated by the board of examiners.

**N. The Award and Classification of Degrees**

49. A student is recommended, as of right, for the award of an appropriate Integrated Masters degree (according to Convention 53) if all the requirements for the award are met, and

(a) all the modules in the degree programme are passed, or

(b) no more than a maximum of 20 credits beyond Stage 1 are failed and:

(c) the appropriately weighted average (according to the Degree Programme Regulations) at the end of Stage 4 is no less than 50

50. Marks from all modules studied at Stages 2, 3 and 4 are used to determine degree classification and so the marks for these modules must be returned using the University Common Scale (DC Scale).

51. Any non-modular aggregated assessment at Stages 2, 3 and 4, may contribute to degree classification as specified in the relevant degree programme regulations.

52. The degree programme regulations shall specify the weight to be given to each stage beyond Stage 1. An average shall be calculated to one decimal place for each stage. These averages shall be combined, according to the prescribed weightings, to one decimal place and then rounded to the nearest whole number according to Convention 27. For a 4-year programme (unless Stage 3 is regarded as an intercalating year – see Convention 50) the weighting Stage 2: Stage 3: Stage 4 shall be one of 1:2:2; 1:3:3; or 1:2:3 unless UTLC has approved an exemption.
53. Students shall be entitled, as of right, to the class of degree yielded by the weighted average mark for all modules which contribute to degree classification (subject to Convention 49). The mark for a failed module that is used for the purposes of classification (but subject to Examination Convention 57 and 58c (ii)) shall be the best mark obtained by the student on that module.

Use of Discretion

The Board of Examiners under Conventions 17, 38 - 40 has a general power to exercise discretion to treat any student more generously than the numerical and other conventions require.

54. The board of examiners must consider whether students should be awarded a higher classification of degree by the exercise of discretion in the following cases:

(a) where there is a positive assessment of the impact of medical or other mitigating circumstances by the Scrutiny Sub-Committee (Convention 14). Discretion may be applied to progression or to classification decisions.

(b) where students have weighted averages of 68 or 69, 58 or 59, 48 or 49, (after rounding of marks)

The board of examiners, in determining the manner in which it shall exercise this power for each student, shall have regard to the following:

(i) the overall profile of individual marks achieved in modules;

(ii) exceptional performance by the student in any particular module, including, for example, research-based modules or in an oral examination where this is part of the degree programme regulations;

(iii) progressive improvement in performance by the student during the final 3 stages of study, unless already taken into account by the stage weighting;

(c) The board may use discretion to recommend the award of an Integrated Masters degree of lower second class or above to a student who has not been recommended for the award of an Integrated Masters degree under Convention 53. It is not possible to award a third class (Hons) or Pass Integrated Masters degree, either as of right or by discretion.

55. The University does not permit the use of a viva voce either as a means of monitoring standards or for determining whether a higher classification should be recommended.

56. In any discussion regarding the possible exercise of discretion, the board shall ensure that no student in similar circumstances has been treated less favourably as a result of any particular decision. The reasons for recommending or not recommending a higher class of degree shall be recorded in the minutes of the proceedings. The minutes shall record the issues raised and the decisions reached, whilst maintaining, wherever possible, the anonymity of board members contributing to the debate. The minuted instances of discretion shall be considered by the board of studies.
and subsequently sent in an annual report to faculty teaching and learning committee. No student shall be identified in this report.

P. Recording of Module Marks after Reassessment, Compensation or Discretion

57. Where a student has achieved a passing mark following reassessment at any stage, including the final stage, or has been deemed to have passed in an assessment by the exercise of compensation or discretion, the mark used by the board of examiners shall be a mark of 40 for level 4-6 modules and 50 for level 7 modules, except for the purposes of compensation (J33). The mark achieved by the student must be recorded on the transcript, with an appropriate note if compensation or discretion has been applied, and a statement that a mark of 40 or 50, as appropriate, will be used in any calculations. However, in such cases, the board of examiners may, in its ultimate discretion, have regard to the actual mark obtained at the second or third occasion of assessment.

R. Failing Performance by Integrated Masters Degree Students

58. A student who, following completion of Stage 4, has not been recommended for the award of a Masters (Hons) degree under Convention 49 or by the use of discretion under Convention 54, will be considered for the appropriate Stage 3 exit award (i.e. a BEng or BSc) under the Undergraduate Examination Conventions and applying the principles therein. If, in addition, a student has passed at least 60 credits at Stage 4, of which at least 40 credits are at level 7 and the remaining credits at level 6, they shall additionally be entitled to the award of a Postgraduate Certificate.

Notwithstanding the above, a student may elect to be reassessed in some or all of the failed modules, subject to:

(i) the maximum recommendation available after reassessment is a lower second class (2:ii) honours Integrated Masters degree and discretion may not be applied to award a higher class than this;

(ii) In the event that the student's performance at reassessment is less than that at the first attempt, the assessment at the second attempt will be used to calculate the entitlement.

59. Students recommended by the board of examiners for the award of an Integrated Masters degree after the first occasion of assessment, may not enter for re-assessment.
S. Recommendation of other than an Honours Degree

Conventions 60-62 of the Undergraduate Examination
Conventions shall not apply to Integrated Masters programmes

*Higher Education Diploma*

63. A candidate for an Honours degree who has satisfied the examiners in at least 240 credits, of which at least 90 credits are at level 5 or above, may be awarded a Higher Education Diploma in that programme, typically when:

(a) the student is entitled to proceed into Stage 3, but instead elects to withdraw from study at the University; or

(b) the student elects to withdraw from study at the University during Stage 3 of the programme;

(c) the student leaves the programme to transfer to an unrelated programme within the University, without carrying forward any credit

(d) the student fails to satisfy the examiners in Stage 3 of the programme

64. The award of a Higher Education Diploma is not classified and, unless specific recognition arrangements are in place, carries no professional accreditation. The diploma will be ‘Higher Education Diploma in X’ corresponding to the ‘Honours degree in X’ for which the student was a candidate.

*Higher Education Certificate*

65. A candidate for an Honours degree who has satisfied the examiners in at least 120 credits, of which at least 90 are at level 4 or above, may be awarded a Higher Education Certificate in that programme, typically when:

(a) the student is entitled to proceed into Stage 2, but instead elects to withdraw from study at the University; or

(b) the student elects to withdraw from study at the University during Stage 2 or Stage 3 of the programme;

(c) the student leaves the programme to transfer to an unrelated programme within the University, without carrying forward any credit

(d) the student fails to satisfy the examiners in Stage 2 or Stage 3 of the programme.

66. The award of a Higher Education Certificate is not classified and, unless specific recognition arrangements are in place, carries no professional accreditation. The certificate will be ‘Higher Education Certificate in X’ corresponding to the ‘Honours degree in X’ for which the student was a candidate.

T. Subsuming of Awards
67. A student awarded an Integrated Master’s level honours degree will not be eligible for a Bachelor’s Honours degree and/or a Higher Education Diploma/ Certificate for the same programme of study. Similarly, students awarded a Higher Education Diploma will not be eligible for the award of a Higher Education Certificate for the same programme of study.

U. Aegrotat

68. The board of examiners may award an Aegrotat degree to a student who has registered for the final stage of the programme but who presents sufficient evidence of ill health or any other extenuating circumstance such that, in the judgement of the board, there is no reasonable possibility that the student can complete the degree programme. When considering the option of recommending this award, boards of examiners should be mindful of the possibility of seeking a concession to enable the student to sit the assessments at a later date, and so be eligible for a classified degree. In addition, the board should consider the appropriateness of recommending the award of a Bachelor’s degree.

69. It is not open to the board to grant an Aegrotat to students registered on certain professionally accredited programmes. A student to whom an Aegrotat is awarded shall be deemed to have obtained Honours but without classification.

Note: the Student Progress Service should be consulted prior to the award of Aegrotat degrees.

V. Retention of Assessed Work

Convention 70 of the Undergraduate Examination Conventions applies.
V. Graduate Diploma and Certificate Regulations

These regulations apply only to students registered on a Graduate Diploma or Graduate Certificate programme in academic year 2009/10. These regulations are not to be applied to students on Undergraduate degree programmes.

A. Definitions

1. Both the Graduate Diploma and Graduate Certificate are Undergraduate level awards.

2. The Newcastle University Qualifications and Credit Framework stipulates that Graduate Certificates normally consist of 60 credits, with a minimum of 40 credits at level 6. Graduate Diplomas normally consist of 120 credits with at least 90 credits at level 6.

B. General Principles

3. The University's normal General Regulations, Undergraduate Progress Regulations and Undergraduate Examination Conventions apply to all students on Graduate Diploma or Graduate Certificate programmes, except where these regulations state otherwise.

C. Return of Marks

4. The mark for each module on a Graduate Diploma or Graduate Certificate programme must be returned to the board of examiners and disclosed to students using the scale below:

| MARKING SCALE APPLICABLE TO GRADUATE DIPLOMA AND GRADUATE CERTIFICATE PROGRAMMES |
|---------------------------------|---------------------------------|-----------------|
| Fail                            | 0-39                            |
| Pass                            | 40-59                           |
| Pass with Merit                 | 60-69                           |
| Pass with Distinction           | 70 and over                     |

D. Compensation, Failure and Core Modules

5. A student shall, on assessment and any reassessment, be deemed to have passed all modules of the programme, notwithstanding that marks of less than 40 have been obtained in one or more modules, provided that each of the following conditions for compensation are met:
(a) the average mark over all modules taking due account of the credit value, is not less than 40;

(b) no single mark for any module of levels 4-6 assessed is below 35;

(c) no single mark for any level 7 module assessed is below 40;

(d) module marks less than 40 (levels 4-6) or 50 (level 7) are compensatable, provided the total credit value of these modules does not exceed 40 out of the 120 credits studied as part of a Graduate Diploma, or 20 out of the 60 studied as part of a Graduate Certificate;

(e) no such compensation is permitted for core modules (UG Progress Regulations B 4(i))

6. All calculations used to determine a student's right to pass modules by compensation must use the best module marks available, regardless of whether the assessments are first or later attempts.

7. Where the rules for compensation do not apply, the board of examiners may still exercise discretion under Undergraduate Examination Conventions 17, 38-40.

8. Candidates for Graduate Diploma and Graduate Certificate awards are required to pass all modules (including by resit, compensation or discretion). Graduate Diploma students failing modules outright may be considered for the award of Graduate Certificate (see below).

E. Reassessment

9. A student who passes a module (including by compensation or discretion) cannot be reassessed for any component of that module.

10. A student who fails up to 40 credits of the Graduate Diploma, or 20 credits of the Graduate Certificate has the right to one reassessment for each module failed. The form of the reassessment may vary from the original, at the discretion of the board of studies.

11. A student who fails more than 40 credits of the Graduate Diploma or 20 credits of the Graduate Certificate will not normally be permitted to continue or be reassessed without the support of the chair of the board of examiners.

12. A student who has the right to a second attempt will automatically be entered for failed modules (and any failed non-modular aggregated assessments) at the next available occasion of assessment (normally in August of the same academic year).
F. The Award and Classification of Graduate Diplomas and Graduate Certificates

13. Students are entitled as of right to the class of award (i.e. Pass, Merit or Distinction) yielded by the average mark for all modules and all non-modular aggregated assessment taking credit values into account.

14. The board of examiners must consider whether students should be awarded a higher classification of award by the exercise of discretion in the following cases:

(a) where there is a positive assessment of the impact of medical or other mitigating circumstances by the Scrutiny Sub-Committee (UG Exam Convention 14).

(b) where students have weighted averages of 58 or 59, 68 or 69, (after rounding of marks).

The board of examiners, in determining the manner in which it shall exercise this power for each student, shall have regard to the following:

(i) the overall profile of individual marks achieved in modules;

(ii) exceptional performance by the student in any particular module, including, for example, research-based modules or in an oral examination where this is part of the programme regulations;

(iii) progressive improvement in performance by the student

(c). The board may also use discretion to recommend the award of a Graduate Diploma or Graduate Certificate of any class to a student who has not been recommended for an award under point 13 of these regulations.

G. Failing Performance by Graduate Diploma students

15. A candidate for a Graduate Diploma, who fails to meet the criteria for the Diploma award, may be recommended for the award of a Graduate Certificate by the board of examiners:

a) Where there is an associated Graduate Certificate, this may be awarded using the criteria laid down in those regulations;

b) Where there are no associated regulations, a Graduate Certificate may be awarded to a candidate who has achieved an average mark of at least 40 over the course of 60 credits, which satisfy the requirements of point 2 of these regulations.

Under this provision, the award of a Graduate Certificate is not classified.
VI. Credit Accumulation and Transfer Scheme Regulations

These regulations apply to:

a) students taking individual modules for credit on a standalone basis
b) students registered (including retrospectively) on programmes on the CATS Programme Register

A. Definitions

1. Where the following terms appear in these regulations, or in programme regulations, they shall have the meanings assigned below:

   a) Credit accumulation: the process by which credits for modules taken may be accumulated and retrospectively brought together to qualify the student for an award

   b) Credit transfer: the system which allows students to move between programmes and institutions, taking with them the credit earned on modules taken

B. General principles

2. The University’s normal General Regulations, relevant Progress Regulations and Examination Conventions apply to CATS students, except where these regulations state otherwise.

3. The University’s Qualifications and Credit Framework (available as part of the Quality and Standards Handbook www.ncl.ac.uk/aqss/qsh/index.php) applies to all awards made under the CATS regulations.

C. General requirements:

4. Students are responsible for making themselves familiar with all regulations and rules affecting them. They must particularly note any dates given in module documentation relating to teaching and assessment and the venues for module examinations.

5. CATS students should be supplied with information about the modules they are studying, which provides all necessary information about the assessment of the module.

6. CATS students are not required to pass an entrance examination, but must satisfy the head of school, or his/her nominee, of their educational fitness to study any module they wish to register to study.

D. Registration and Module Choice

7. CATS students must register for any module before they commence their study of the module, but this can be at any time of the year. Registration for the module shall constitute registration for the assessment associated with it.
E. Modules

8. Only modules of 10 credits or more may be part of the CATS scheme.

9. Modules have a maximum validity of 5 years from the date of the Board of Examiners’ meeting until the point where they are converted into an award. Programme regulations may set a shorter period of validity where it is considered that modules, in the context of that award, have a shorter currency. 

NB. This rule applies to the smallest award available to a candidate. Once credits have been converted into an award, candidates may proceed to obtain further credits towards the next largest award available and there is a 5 year maximum time limit for this next stage.

10. Students are entitled to one resit attempt for every module studied under the CATS scheme, whatever its level. Marks on resit are capped at the passmark.

11. There is no requirement for CATS students to pass one module before commencing the study of another, except where passing the earlier module is a pre-requisite for studying the later module.

12. Work will be marked using the University’s common marking scale (UG and Masters Examination Conventions F.). The passmark for the module depends on its level in the Qualifications Framework and is: 40 for modules at level 3-6 and 50 at modules level 7-8.

13. Assessments on all modules must be reviewed by an external examiner in the normal way (www.ncl.ac.uk/aqss/gsh/examinations_and_assessment/External_examiner_policy_revised_November%2020082.pdf). Schools may use existing external examiners where the module or an equivalent module already has an external examiner. In other cases a special appointment may need to be made.

14. A Board of Examiners must be held for all standalone modules taken for credit after each assessment cycle, which should consult the external examiner and confirm the marks. Where the module is also part of a named programme of study, the Board of Examiners may meet according to the normal schedule for such programmes.

15. Students should be reminded that they have the right to submit evidence of personal circumstances affecting performance which should be considered by the Scrutiny Sub-Committee before the Board of Examiners meets in line with normal University practice. The Board of Examiners should take account of this in determining its decision and may exercise its discretion to treat a module as passed, even where the mark obtained is below the passmark.
16. The timing of any resit assessment should be determined by the module leader for the cohort so as to allow reasonable notice for candidates and time to revise, but so also as to avoid undue delay. Where possible, normal resit opportunities will be offered. Individual requests for deferral of examinations or special arrangements will require a University Concession.

F. Awards

17. Only awards worth 60 credits or more may be made under these regulations.

18. The awards available under the CATS scheme are as follows:

<table>
<thead>
<tr>
<th>Award</th>
<th>No of credits</th>
<th>Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>Higher Education Certificate</td>
<td>120</td>
<td>4</td>
</tr>
<tr>
<td>Higher Education Diploma</td>
<td>240</td>
<td>5</td>
</tr>
<tr>
<td>Bachelor's Degree with Honours</td>
<td>360</td>
<td>6</td>
</tr>
<tr>
<td>Graduate Certificate</td>
<td>60</td>
<td>6</td>
</tr>
<tr>
<td>Graduate Diploma</td>
<td>120</td>
<td>6</td>
</tr>
<tr>
<td>Integrated Masters</td>
<td>480</td>
<td>7</td>
</tr>
<tr>
<td>Postgraduate Certificate</td>
<td>60</td>
<td>7</td>
</tr>
<tr>
<td>Postgraduate Diploma</td>
<td>120</td>
<td>7</td>
</tr>
<tr>
<td>Master's degree</td>
<td>180</td>
<td>7</td>
</tr>
</tbody>
</table>

19. Only awards listed on the CATS programme register are available through credit accumulation and candidates must satisfy the requirements of the programme’s regulations to be eligible for the award.

20. Students will not normally register for the programme, but will accumulate credits, which, subject to the programme regulations, they will convert retrospectively into an award.

21. The relevant head of school shall appoint a degree programme director for each programme on the CATS Register.

22. Degree programme directors can approve non-standard patterns of study.

23. Students are required to pass all modules to be eligible for the award and there is no compensation. NB. A module passed by discretion will count as a passed module for this purpose.

24. Modules may only be used once towards any award of the same credit value and level, but may be used, in line with the programme regulations, towards a larger award at the same level. E.g. Modules used for a PG Certificate could not also be used towards another PG Certificate, but could subsequently be used, in accordance with the programme regulations to obtain a PG Diploma. In such cases the student would not normally be
required to relinquish the lower award; it would be subsumed into the new award.

25. There must be a Board of Examiners for the programme which will make pass/fail and classification decisions. The School(s) may operate a shared Board where the programme concerned is also offered in normal mode. Faculties may also establish Faculty CATS Award Boards to make decisions on awards, where this is deemed efficient. Such boards should be supported by an External Assessor, whose role is to ensure the fairness of the process. The module marks will already have been subject to the scrutiny of an external examiner.

26. Accreditation of Prior Learning (APL) is allowed subject to the normal credit limits (http://www.ncl.ac.uk/agss/qsh/APEL_Policy.doc). However, if compatible with the programme regulations, APL may be granted for modules in areas where the University does not have the expertise to judge claims. In such cases appropriate external experts, appointed by the Board of Examiners, must be consulted.

27. Bachelor’s Honours Degrees, Master’s Degrees, Graduate Certificates, Graduate Diplomas, Postgraduate Certificates and Postgraduate Diplomas are to be classified using the method appropriate to that award. All other awards available under the CATS scheme are assessed on a pass/fail basis.

28. The normal principles of discretion can be applied to classification decisions.

29. CATS students will not normally be assigned personal tutors. They are expected to use the Module Leader as their first point of academic contact, but schools should also nominate a member of staff to deal with personal and academic enquiries from CATS students.

30. A CATS student cannot be recommended for more than one award per academic year.
VII. Masters’ Degree Progress Regulations, Taught and Research (excluding MPhil programmes)

These regulations shall be understood in conjunction with requirements laid down in the General Regulations and the Examination Conventions of the University, and shall be read together with any examination conventions specific to the relevant degree programme, as approved by the relevant faculty teaching and learning committee.

A. Definitions

1. These progress regulations shall apply to full-time and part-time taught and research Masters’ degree programmes, excluding MPhil programmes. Where the following terms appear they are to be given the meanings assigned below:

a) **Assessment**: A generic term for a set of processes that measure the students’ achievement of the intended learning outcomes in terms of knowledge acquired, understanding developed, skills gained and attributes demonstrated. These assessments may include written, aural and oral examinations, essays, class tests, other course work, dissertations and practical activity;

b) **Class of award**: a means of distinguishing between the differences in achievement by individual students of the intended learning outcomes for a degree programme. The classification of a postgraduate award, i.e. Pass, Pass with Merit or Pass with Distinction as defined in the *University Common Scale* for returning marks;

c) **University Common Scale**: The scale for the return of marks as set out in *Undergraduate Examination Conventions* and *Examination Conventions for Taught Masters’ Degrees*. The scale defines the range of marks to be given to represent degree classifications, and is designed to ensure consistency and fairness to students;

d) **Degree programme director**: a member of the University who is responsible for the day-to-day management of a degree programme;

e) **Module**: A discrete component of a programme of study having stated intended learning outcomes, teaching and learning opportunities designed to achieve those outcomes and assessment tasks designed to enable students to demonstrate achievement of the outcomes. Each module has a credit value specified by the degree programme regulations;

f) **Core module**: a module which students must pass, and in which a fail mark may not be compensated; such modules are designated by the board of studies as essential.
g) **Compulsory module**: a module which a student is required to study;

h) **Credit value**: the size of a module in a stage, measured by reference to student learning time so that for every 10 credits a student shall normally be expected to spend 100 hours in programmed activities, private study, or assessment;

i) **Non-modular aggregated assessment**: assessment additional to the assessments for each module, having the purpose of assessing a student's cross-modular understanding;

Note: all references in these regulations to assessment shall be construed to include both module assessment and non-modular aggregated assessment.

j) **Stage**: a sub-division of a programme, for example into a taught element and a dissertation element, which, if present in a programme, must be clearly defined in the individual degree programme regulations. Where such stages are defined, the requirements relating to progression from one stage to the next must be stated in the degree programme regulations;

k) **Dissertation**: an exercise in research or scholarship forming part of the programme of study for which the student is registered;

l) **Postgraduate academic year**: the period running from the first day of the first semester to two weeks before the start of the following academic year (September to September);

m) **Postgraduate Certificate**: a programme comprising 60 credits in line with the University's Qualifications and Credit Framework;

n) **Postgraduate Diploma**: a programme comprising 120 credits in line with the University's Qualifications and Credit Framework;

o) **Research Masters degree programme**: a tailor made programme that reflects specific research themes and aims incorporating research preparation. A programme comprising at least 180 credits of which at least 80 credits will be dedicated to the research project/dissertation, as outlined in the University's Qualifications and Credit Framework;

p) **Taught Masters degree programme**: a programme comprising at least 180 credits of which not less than half and not more than two thirds comprise the taught element and of which not less than one third and not more than a half comprise the dissertation, as outlined in the University's Qualifications and Credit Framework;

q) **Taught element**: any part of a taught Masters degree programme other than the dissertation.

### B. Masters Degree Entrance Requirements

2. An applicant may be approved for admission as a candidate for a Masters degree by the relevant degree programme director where the applicant:
(a) is a graduate of this or another approved University or degree-awarding body or holds other qualifications approved by the relevant dean of postgraduate studies; and

(b) satisfies such additional requirements for admission as may be set out in the relevant degree programme regulations or otherwise published by the University and approved by the relevant dean of postgraduate studies.

C. Preconditions to the Award of a Masters Degree

3. Before being awarded a Masters degree, a student must:

   (a) register for and make satisfactory progress in the relevant full-time or part-time programme of study as prescribed by the programme regulations; and

   (b) satisfy the examiners under the relevant degree programme regulations;

   (c) where there are programme specific regulations which define progress leading to the dissertation element of the degree, satisfy these conditions before progressing.

D. Patterns of Study

4. Degree programme directors have discretion to permit a student to commence the programme at the start of Semester 2 and complete the programme in the following academic year.

5. At the discretion of degree programme directors, a student may be permitted to transfer from full-time to part-time study (and vice versa). This is subject to specific arrangements being agreed by the degree programme director to accommodate the part-time study pattern and should be reported to the board of studies and graduate school.

6. Degree programme directors may permit a student to transfer programme during the academic year where programmes are in the same subject area and where there is considerable overlap in the taught modules. Such transfers shall be reported to the board of studies and graduate school.

7. Degree programme directors may permit a student to select modules in substitution for modules specified in the degree programme regulations. Such permission shall not override the provisions of General Regulation B (registration of module choice). All such variations shall be reported to the board of studies.

8. No student may be permitted to select modules of more than 70 credits in either semester one or semester two.

9. No student may be permitted to register for a module that is a substitution for a module previously studied.
E. Attendance and Progress

Length of Study

10. A full-time student on a Masters programme is normally expected to complete the programme in 1 year and a part-time student on a Masters programme is normally expected to complete the programme in 2 years.

11. Where there are no programme specific regulations regarding length of study, the maximum time for a part-time student to complete is 4 years.

Satisfactory progress

12. The student is required to make satisfactory progress in the relevant programme of study and, during each semester, the student's progress shall be reviewed in all modules by the degree programme director.

13. Failure to make satisfactory progress may be grounds for:

   (a) monitoring the attendance of the student or requiring the submission of written work in addition to that required by the degree programme regulations;

   (b) deferral of the student's first attempt at the whole assessment for the module(s) concerned to the August/September resit examinations in the same academic year. Where such a deferral is taken, the student's attempt shall be the second attempt;

   (c) interruption or termination of the student's programme of study.

Evidence of failure to make satisfactory progress

14. Any of the following may constitute failure to make satisfactory progress and all may be taken into account in considering what action, if any, is to be taken:

   (a) failure to attend for interview with the personal tutor or supervisor;

   (b) failure to attend regularly the programme of study without good cause (see General Regulation A4);

   (c) failure to perform adequately, or satisfy the examiners, in work prescribed for the programme of study;

   (d) failure to submit at the required time written work prescribed for the taught programme of study (whether or not such work counts for assessment purposes);

   (e) failure to attend examinations or to satisfy the examiners in the examinations prescribed under the degree programme regulations; in serious cases provisional examination results may be used as such evidence;

   (f) failure to attend as required for dissertation supervision, failure to submit evidence of progress as required by the dissertation supervisor or to submit the dissertation by the date stipulated.

   (g) failing to attend English language assessment and attend in-sessional English language classes as directed by your degree programme director.
Students are expected to acquaint themselves with the attendance and submission requirements for lectures, seminars, tutorials, practicals, laboratory work, language classes, performances, fieldwork and examinations as well as with dissertation supervisions for their programme of study.

Procedure for dealing with unsatisfactory progress

15. A student whose progress is considered unsatisfactory by the degree programme director shall be notified in writing of the reasons for this opinion and given the opportunity of an interview with the director. Following this notice and any interview, and taking account of all known circumstances, the student's attendance, progress and performance may be monitored; this may require the undertaking of special pieces of work. If the student's performance has not improved within two weeks from the date of the written notice, the degree programme director may:

(a) take further action under regulation E13 (a) or (b);

(b) recommend that University Concessions Committee take action under regulation E13 (c);

(c) extend the two-week period for a further period lasting up to the end of the postgraduate academic year.

16. Where a degree programme director recommends to University Concessions Committee that a student's programme of study should be interrupted or terminated under regulation E13, the student shall have the right to make oral or written representations to the Committee. After considering any such representations, the Committee shall have the power to apply any of the sanctions for unsatisfactory progress available under regulation E13.

Grounds for review of decisions on unsatisfactory progress

17. A student applying for review of the decision of a degree programme director or University Concessions Committee made under regulation E15 or E16 may do so only in writing, specifying one or more of the following grounds:

(a) that some irregularity in following the required procedure had occurred;

(b) that new evidence is available which was not considered previously;

(c) that the imposition of the sanction proposed would cause disproportionate hardship to the student.

Procedure for review of decisions on unsatisfactory progress

18. A student subject to a decision under regulation 13(b) or (c) shall receive written notice of the decision and may, within 14 days, apply for review of the decision to University Concessions Committee. A student who so applies shall have the opportunity to make oral and written representations to this Committee within the following 14 days. The Committee decision shall not take effect until such an opportunity has been given. After considering any representations made by the student, the Committee shall have power to
confirm or revoke the initial decision and to substitute any decision available to the degree programme director, other than interruption or termination of the programme of study.

19. Where, acting under regulation E16, University Concessions Committee decides to interrupt or terminate the student's programme of study, the student may apply to have the case reviewed according to Regulation 20 below, in which case the sanction shall not take effect unless confirmed. The student shall have the right to receive any evidence in writing and to make written and/or oral representations to the Committee. The Committee shall have power to deliberate (but not to receive further evidence or representations) in private. After considering the evidence and any representations, University Concessions Committee may confirm or revoke the previous decision or substitute any lesser sanction available under regulation E13.

20. In any review of a sanction imposed under regulation E13, the chair of University Concessions Committee shall have the power to dismiss the student's application without a hearing if it is manifestly ill-founded or there is no reasonably arguable basis for the grounds alleged in the application.

21. A member of University Concessions Committee shall not sit as a member of University Concessions Committee in reviewing any decision in which that member has previously been involved. If an independent committee of review cannot be properly constituted, the Academic Registrar shall arrange for independent review by the Chair of University Teaching and Learning Committee.

22. In conducting business under this regulation, the Chair of University Concessions Committee may adopt whatever procedure is appropriate, provided that the express requirements of these regulations or of any relevant University code or procedure are followed.

Nb. Notwithstanding any ongoing discussion and correspondence with a student about unsatisfactory progress, the University may be obliged to report to the UK Border Agency any International student who has failed to attend lectures, classes or seminars.

F. Assessment

23. There is one final mark for each module but, where modular outlines specify, a student may be required to pass specific components of a module in order to be deemed to have passed the module overall.

24. All modes of assessment permitted are outlined in the degree programme regulations and handbook. Rules to be observed by students regarding, for example, size, form and submission dates for examinable coursework, also regarding retention and recall of work are specified in the degree programme handbook.

25. Any late submission of an assessment or dissertation shall be considered in line with the University's Policy on Late Submission of Assessed Work, available at: www.ncl.ac.uk/aqss/qsh/examinations_and_assessment/late_submission.pdf
An extension may be granted for up to three months at the discretion of the degree programme director. An extension of longer than three months can only be granted by University Concession Committee for postgraduate taught masters, however a dean of postgraduate studies may grant an extension of up to one year for the research masters’ dissertation.

G. The Award of a Masters Degree, Postgraduate Diploma or Postgraduate Certificate

26. The Examination Conventions for Taught Masters’ Degrees detail the performance standards necessary to obtain a Masters degree, postgraduate diploma or postgraduate certificate.

H. Interruption of Progress

Exclusion for delayed progress

27. The following students shall be excluded from further study unless given special permission by University Concessions Committee:

(a) a full-time student following a one-year programme who is more than one year in arrears in the programme;

(b) a full-time student following a programme longer than one year who is more than two years in arrears in the programme; and

(c) a part-time student who is more than two years in arrears in the programme.

Interruption and resumption of normal progress

28. (a) Subject to regulation 27, the degree programme director may give permission for a student to interrupt normal progress within the degree programme;

(b) When a student resumes normal progress, the student shall proceed with the programme of study only under the regulations then applicable.

J. Miscellaneous General Provisions

Approval of Study at Another Institution

29. A student may be allowed to follow an approved course of study at another institution, in whole or part substitution for one or more stages of the degree programme, in accordance with standing arrangements for collaborative provision in the relevant degree programme regulations or with the permission of the degree programme director.

30. Where standing arrangements governing study at another institution are specified in degree programme regulations, those regulations and the relevant examination conventions shall govern how the student's performance is to be assessed during any such period of study and the manner in which this is to contribute to assessment of the student's overall performance.

31. Where no standing arrangements exist, and a student's period of study at another institution is specifically approved by the degree programme
director, the student's performance during this period shall be assessed in accordance with the arrangements approved by the degree programme director in granting permission.

K. Inconsistency between the University Regulations and the Degree Programme Regulations

32. In the event of any inconsistency between the University Progress Regulations and the degree programme regulations, the University Regulations shall prevail, unless an express departure from the University Regulations has been approved by the University Teaching and Learning Committee or the Regulations Sub-Committee acting on its behalf, and a statement that the degree programme regulations are to have priority has been incorporated within them.

L. Tutors and Supervisors

33. All students are required to see their personal tutors or supervisors from time to time in order to discuss their progress.

34. Students shall notify their tutors or supervisors of any change of local or home address and of any other changes in their circumstances material to their studies.

35. A student may request a change of personal tutor. The student should consult the relevant head of school or dean of postgraduate studies. The Student Progress Service can offer advice.

M. Applications from Members of Staff of the University

36. Members of staff of the University may apply to undertake a part-time postgraduate programme in order to enhance their ability to carry out their current or agreed future work within the University provided that they hold an appointment which extends to cover the prescribed period of registration for the degree.

37. The relevance of the degree to the work (or agreed future work) of the member of staff will be determined by the relevant head of school/service and dean of postgraduate studies (or relevant pro-vice-chancellor in the case of staff who are not attached to faculties) before the academic suitability of the applicant is considered by the relevant degree programme director. Appeals against the decision of the head of school and dean of postgraduate studies (or pro-vice-chancellor) concerning the relevance of the degree will be determined by the chair of the Staff Committee.

38. A member of staff may be permitted to register for a Masters programme in his/her own school, but in such a case all work must be externally assessed.

39. A member of staff registered for a Masters programme shall not normally be permitted to teach or examine in any aspect of the programme or to take part in discussion relating to the assessment of students in the programme.
VIII. Examination Conventions for Taught Masters’ Degrees

A. Introduction
1. These conventions shall be understood alongside the definition of terms in the Masters’ Degree Progress Regulations, Taught and Research Regulations, and in conjunction with requirements laid down in the General Regulations of the University, and shall be read together with any examination conventions specific to the degree programme as approved by the relevant faculty teaching and learning committee.

2. These conventions will apply to all taught Masters’ degrees unless there are specific requirements relating to professional or accrediting bodies. Where this is the case, boards of studies should submit separate examination conventions. The examination conventions should be included in the degree programme handbook.

3. Similarly, these conventions will apply to the taught modules of any research programme, unless deviations are approved for individual degree programmes.

B. The Board of Examiners
4. A board of examiners shall be appointed for each award-bearing programme. A board of examiners may be responsible for a number of programmes. Membership of a board of examiners shall include the relevant degree programme directors, named representatives of the main areas of study involved in the programme and the appointed external examiners.

5. The membership of each board of examiners shall be proposed by the relevant board of studies and names of the chair and secretary reported to the appropriate faculty teaching and learning committee and to the examinations office.

6. The relevant degree programme directors and named representatives of the main areas of study involved in the programme shall be present at meetings of the board of examiners. The appointed external examiners shall normally be present at meetings of the board at which qualifications are awarded.

7. Where it is necessary to call an additional or reconvened meeting of the board of examiners, the external examiners shall be notified and, if they are unable to attend, shall be given the opportunity to make known in writing their views on the cases to be discussed.

Chair of the Board
8. The chair of the board of examiners shall be appointed by the head of school and this appointment reported to faculty teaching and learning committee. The chair is responsible for conducting all meetings of the board, and for ensuring that all decisions are taken by the board in the full knowledge of all the performances for each student. In appropriate cases, the board may delegate to the chair the right to consider and make decisions. In so doing,
the chair should consult as many members of the board as possible (including the external examiners). Action taken by the chair must be reported to the next scheduled meeting of the board. The chair shall exercise discretion only in a manner consistent with the normal practices and any additional agreed principles of the board. All agreed mark sheets, confirming decisions taken by the board, shall be signed by the chair.

**Secretary**

9. The board of studies shall appoint a secretary who shall be responsible for ensuring that all members of the board of examiners, including the external examiners, are informed of meetings. The secretary shall also be responsible for keeping a record of all decisions reached by the board. In all cases of the exercise of discretion, the reason for the decision shall be recorded.

**External Examiners**

10. Procedures for appointing external examiners are outlined in the *Policy and Procedures for External Examiners of Taught Programmes* at [www.ncl.ac.uk/aqss/gsh/](http://www.ncl.ac.uk/aqss/gsh/)

11. The external examiner is required to report to the Vice-Chancellor on the sufficiency and integrity of the examinations, and on the standards of student attainment. In order to carry out this task, the external examiner shall have the right to see any materials relevant to the process of assessment.

12. External examiners shall have the right to speak on any matter at the meeting of the board of examiners, regardless of whether their opinion has been specifically invited. The board of examiners shall take into account, but need not defer to, the views of external examiners in taking decisions.

13. Final classification lists shall be signed by the chair, and, normally, by the external examiners. The external examiners shall make an annual report (and a final report at the end of the period of duties) to the Vice-Chancellor. These reports may include comments and recommendations. In addition, external examiners may make a confidential report at any time on any matter to the Vice-Chancellor.

**Scrutiny Sub-Committee**

14. The scrutiny sub-committee normally consists of the chair of the board of examiners and two other senior members of staff. A secretary is also in attendance. The committee's business may take place immediately prior to the board of examiners meeting. The sub-committee reviews and considers medical and mitigating circumstances which may have affected a candidate's performance. The chair reports the sub-committee's recommendations to the board of examiners. The board shall, accordingly, be made aware if medical or mitigating circumstances have been put forward for or by a student; without more detail than is necessary being disclosed, and this shall include no personal or medical details. All personal information shall be handled by the board in accordance with the requirements of the Data Protection Act.

15. Students shall be informed annually by notice (in electronic or paper form) of the procedure and timetable for notifying the scrutiny sub-committee
of any relevant mitigating circumstances. Notification shall normally be in writing. A student who fails to disclose relevant circumstances to the examiners at least 24 hours before the scrutiny sub-committee meets, and who later applies for a review of the decision of the board, will be required to state the reason for not making the evidence known earlier.

**Procedures**

16. In any debate by the board of examiners in respect of a student under consideration, members of the board who contribute to the debate shall declare any personal (i.e. non-academic) interest. It is advised that, normally, any such member should take no part in the debate.

17. Notwithstanding any numerical or other conventions, the board of examiners shall have discretion to pass any student, in the whole (or any part) of the assessment, at any stage. This discretion shall not be exercised to deprive a student of some advantage to which the student would otherwise be entitled under regulations or examination conventions. The board shall ensure that all similar cases are treated consistently. The reason for the exercise of discretion or, where appropriate, the reason for not exercising discretion, shall be recorded by the secretary to the board.

18. Where the board of examiners is unable to reach a decision on any issue by common consent, a vote shall be taken and the matter shall be decided by the majority of members then present and voting. The academic members of the board, including the external examiners and the chair, shall each have one vote. In the event of a tied vote, the chair shall have a casting (i.e. second) vote.

19. As soon as possible following the meeting of the board of examiners, the secretary shall notify the faculty graduate school of its decisions. The Academic Registrar (or nominee) shall publish those decisions in accordance with a timetable - normally within 48 hours of the issue of decisions by the board. These decisions shall be displayed on University notice boards. No other publication or disclosure of results is permitted until the Academic Registrar (or nominee) has officially published the decisions at the agreed time.

**C. Absence from Examinations, Failure to Submit Assessed Work and Assessment Irregularities**

20. Where a student has been absent for any reason from an examination, a mark of zero shall be returned for that component of the assessment. Where a student has failed to submit any other element of the assessment, a mark of zero shall be returned for that element. Any late submissions must be considered in line with the University's Policy on Late Submission of Assessed Work, available at; [www.ncl.ac.uk/aqss/qsh/examinations_and_assessment/late_submission.pdf](http://www.ncl.ac.uk/aqss/qsh/examinations_and_assessment/late_submission.pdf)

21. Where a student has failed to comply with any other assessment requirement, the consequence, if any, stipulated in the degree programme handbook shall apply.
22. The University’s procedure for assessment irregularities shall apply to any reported or suspected cheating or plagiarism. It should be clear that sanctions imposed under the Assessment Irregularity Procedure takes precedent over Board of Examiners, and therefore cannot be overturned. The procedures are available at; 
www.ncl.ac.uk/students/progress/staff-resources/procedures.htm .

D. Aural and Oral Examinations

23. The details of any aural or oral assessment must be published in the appropriate degree programme handbook. The chair of the appropriate board of examiners shall be responsible for ensuring that students are informed of the timing and form of any such assessment.

E. Marking Procedures

24. It shall be a duty of all examiners to carry out all assessments in accordance with the published assessment criteria approved by faculty teaching and learning committee and normally available in degree programme handbooks.

25. The following shall constitute the procedure and, where appropriate, minimum requirements, for marking throughout the University. This takes into account the significance of the assessment, the type of the assessment, and the experience of the marker:

(a) All marking shall be guided by explicit statements of standards, which shall be published in the degree programme handbook;

(b) Each board of examiners shall have an explicit, written policy on the application of scaling and other standardisation of marks on the University Common Scale and on the system to be followed to reconcile differences in marks between markers on the same module;

(c) Assessments shall be marked, internally moderated, and the outcomes and process monitored by the external examiner(s). Moderation is a process whereby marks are scrutinised with a view to forming a secure judgement about the validity of the overall mark proposed for the assessment(s) for the module. Moderation may take the form of checking, second marking of all scripts, or second marking of a sample of scripts, and may, additionally, take the form of confirmation/adjustment by a module moderation board before the marks are returned to the board of examiners;

(d) Marking of assessments by a marker with less than one year's experience of academic marking to this University's standard should be moderated by a more experienced marker.

F. Return of Marks

26. The mark for each module on a Masters degree programme, postgraduate diploma or postgraduate certificate must be returned to the board of examiners and disclosed to students using the University Common
Scale for the return of marks below:

<table>
<thead>
<tr>
<th>Marking scale applicable to</th>
<th>Marking scale applicable to</th>
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</thead>
<tbody>
<tr>
<td>postgraduate masters programmes</td>
<td>postgraduate certificate and diploma programmes</td>
</tr>
<tr>
<td>0-50 Fail</td>
<td>0-50 Fail</td>
</tr>
<tr>
<td>50-59 Pass</td>
<td>50 or above Pass</td>
</tr>
<tr>
<td>60-69 Pass with Merit</td>
<td></td>
</tr>
<tr>
<td>70 or above Pass with Distinction</td>
<td></td>
</tr>
</tbody>
</table>

27. The final mark returned for the assessment of any module, shall be rounded to the nearest whole number before being returned to the relevant board of examiners. The rounding of marks shall follow the convention: decimal marks with a decimal component of 0.5 or larger shall be rounded up to the next whole number; marks with a decimal component of less than 0.5 shall be rounded down to the next whole number. Averages for the purpose of determining awards shall be calculated using the same method.

G. Publishing and Adjusting Marks

28. Marks awarded for coursework shall be disclosed to students once they are available. It should be made clear to students that such marks are provisional and will be subject to review, and to possible moderation.

29. Provisional module marks awarded at the end of the Semester 1 assessment period shall be disclosed once they are available, but it should be made clear to students that the marks are provisional and will be subject to review and to possible moderation.

30. Any adjustment of marks (such as scaling and standardisation, and including those requested by the external examiners) shall take place prior to the meeting of the board of examiners. Once marks have been returned to the board of examiners they shall not be adjusted, except that the correction of errors in the transcribing of marks is permitted. It should be noted that the conventions governing the award of classes of degrees and particularly the use of discretion by the board of examiners, shall not result in any adjustment of marks.

H. Credits Required and Using Credit Value

31. Students are required to study 60 credits for a postgraduate certificate, 120 credits for a postgraduate diploma and 180 credits for a Masters degree in line with the requirements outlined in the University’s Qualifications and Credit Framework. All modules of a programme contribute towards the final award and its classification. The weighting of modules for assessment purposes shall correspond to the credit value of the module specified in the relevant degree programme regulations. Such weighting of modules may be adjusted in accordance with any degree programme regulations only to allow for additional weighting allocated to non-modular aggregated assessment.
J. Progression within Taught Postgraduate Programmes

32. Where there are progression requirements specified in the degree programme regulations, a student must, before proceeding from one stage to another, satisfy the examiners in the assessment for each module of that stage including the possible exercise of compensation. This may require the internal members of the board of examiners to meet at the end of the taught component and liaise with the external examiner(s) as appropriate.

K. Principles of Compensation

33. A student who fails up to 40 credits of the taught element of the programme shall still be awarded a Masters degree provided the following compensation rules are met:

   (a) the average mark over all of the assessments (including any reassessments) for the whole programme, based on simple aggregation (taking into account the credit value of the modules) is at least 50;

   (b) no single mark for any module assessed is below 40;

   (c) no such compensation is permitted for core modules (PGT Progress Regulation A 1(f)) and the dissertation module.

34. Degree programme regulations specify whether and how compensation may be applied to non-modular aggregated assessment.

35. Where the rules for compensation do not apply, the board of examiners may still exercise discretion under Conventions L 36 - 38.

L. Principles of Discretion

36. Notwithstanding the student’s results, and without prejudice to the requirements for professional accreditation, the board of examiners may, in its ultimate discretion:

   (a) deem a student to have passed specific modules – including core modules,

   (b) recommend a student eligible to leave the University with an award, for a higher award or degree classification (See conventions P 44 - 46).

37. The exercise of discretion does not set a precedent as each individual case should be considered on a case by case basis. However, in any discussion regarding the possible exercise of discretion, the board shall ensure that no student in similar circumstances has been treated less favourably.

38. The reasons for exercising or not exercising discretion shall be recorded in the minutes of the proceedings in every case where the exercise of discretion is considered, both those where such consideration is required under Convention 45 or where it is considered on other grounds. The minutes shall record the issues raised and the decisions reached, whilst maintaining, wherever possible, the anonymity of board members contributing to the debate. The minuted instances of discretion shall be considered by the
board of studies and subsequently sent in an annual anonymised summary report to faculty teaching and learning committee.

M. Reassessment

39. A student who passes a module (including by compensation or discretion) cannot be reassessed for any component of that module.

40. A student who fails up to 40 credits of the taught element of the programme has the right to one reassessment for each module failed. The form of the reassessment may vary from the original, at the discretion of the board of studies.

41. A student who fails more than 40 credits of the taught element of the programme will not normally be permitted to continue or be reassessed without the support of the chair of the board of examiners.

42. The timing of any reassessment will be such that a student’s progression is not unduly delayed. The board of examiners may stipulate a period for reassessment which is outside the University’s normal assessment and resit periods.

N. Resubmission of Dissertation

43. A student has the right to one resubmission of their Masters dissertation. This right will not apply to a student who has not passed more than 40 credits of the taught element of the programme. Resubmission should be within a defined period agreed by the board of examiners, normally within 3 months of the board of examiners’ decision.

P. Use of Discretion

44. The Board of Examiners under Conventions L 36 - 38 has a general power to exercise discretion to treat any student more generously than the numerical and other conventions require.

45. The board of examiners must consider whether students should be awarded a higher classification of degree by the exercise of discretion in the following cases:

(a) where there is a positive assessment of the impact of medical or other mitigating circumstances by the Scrutiny Sub-Committee (Convention B14). Discretion may be applied to progression or to classification decisions.

(b) where students have weighted averages of 68 or 69, 58 or 59, 48 or 49 (after rounding of marks)

46. The board of examiners may use discretion either to pass any candidate in the whole or any part of the assessment or to give a higher award than the class of award to which the student is entitled by right (e.g. to give a Pass with Merit or a Pass with Distinction). In any discussion regarding the possible exercise of discretion, the board shall ensure that no student in similar circumstances has been treated less favourably as a result of any particular decision. The reasons for recommending or not recommending a higher class of degree shall be recorded in the minutes of the proceedings. The minutes
shall record the issues raised and the decisions reached, whilst maintaining, wherever possible, the anonymity of board members contributing to the debate. The minuted instances of discretion shall be considered by the board of studies and subsequently sent in an annual report to faculty teaching and learning committee. No student shall be identified in this report.

R. Use of Marks after Reassessment, Compensation or Discretion

47. Where a student has achieved a passing mark following reassessment, or has been deemed to have passed in an assessment by the exercise of compensation or discretion, the mark used by the board of examiners, shall be a mark of 50. The mark achieved by the student must be recorded on the transcript, with an appropriate note if compensation or discretion has been applied, and a statement that a mark of 50 will be used in any calculations. However, in such cases, the board of examiners may, in its ultimate discretion, have regard to the actual mark obtained at the second occasion of assessment.

48. Where a student has passed modules by the discretion of the board of examiners s/he shall be eligible as of right only for the award of a Pass.

S. The Award and Classification of Masters’ Degrees

49. A student is recommended, as of right, for the award of an appropriate Masters degree if all the requirements for the award are met and all the modules in the degree programme are passed.

50. The class of award is normally determined as follows:

(a) Students are entitled as of right to the class of degree yielded by the average mark for all modules and all non-modular aggregated assessment taking credit values into account.

(b) Students with weighted averages of 48 or 49, 58 or 59, 68 or 69, (after rounding of marks) shall always be considered for the next higher class of award. However, the Board of Examiners are not limited to this category of student when considering the use of discretion.

(c) All students considered for discretion by the Board of Examiners should have their decisions minuted accordingly, see convention L38.

(d) The board of examiners, in determining the manner in which it shall exercise this power for each student, shall have regard to the following:

(i) The overall profile of individual marks achieved in modules;
(ii) Exceptional performance in any particular module, including, for example, research based modules;
(iii) Progressive improvement in performance by the student;
(iv) Any recommendation from the scrutiny sub-committee on the effect and scope of Medical or other mitigating circumstances
that were submitted to the scrutiny sub-committee, see convention B14.

51. In exceptional circumstances, an individual programme, with faculty teaching and learning committee approval, on behalf of university teaching & learning committee, may set additional criteria which must also be taken into account when determining the class of award. The additional criteria must be written in the individual programme regulations and programme handbooks.

52. Any student may be required to take a *viva voce*, at the discretion of the board of examiners, as a means of monitoring standards or for determining whether a higher classification should be recommended.

T. **Award of a Postgraduate Diploma**

53. A candidate for a Masters degree, who fails to meet the criteria for the Masters degree, may be recommended for the award of a postgraduate diploma by the board of examiners:

   (a) Where there is an associated postgraduate diploma, this may be awarded using the criteria laid down in those regulations;

   (b) Where there are no associated regulations, a postgraduate diploma may be awarded to a candidate who has achieved an average mark of at least 50 over the course of 120 credits, which may include the dissertation element.

54. A student who fails up to 40 credits of the 120 credits for the programme may still be awarded a postgraduate diploma provided the compensation rules are met in accordance with convention 33 a - c.

55. The award of a postgraduate diploma is not classified under this provision.

U. **Award of a Postgraduate Certificate**

56. A candidate for a Masters degree or postgraduate diploma, who fails to meet the criteria for the Masters degree or diploma, may be recommended for the award of a postgraduate certificate by the board of examiners:

   (a) Where there is an associated postgraduate certificate, this may be awarded using the criteria laid down in those regulations;

   (b) Where there are no associated regulations, a postgraduate certificate may be awarded to a candidate who has achieved an average mark of at least 50 over the course of 60 credits.

57. A student who fails up to 20 credits of the 60 credits for the programme may still be awarded a postgraduate certificate provided the compensation rules are met in accordance with convention 33 a - c.

58. The award of a postgraduate certificate is not classified under this provision.
V. Aegrotat

59. The board of examiners may award an Aegrotat degree to a student who has demonstrated postgraduate ability, over typically at least 50% of the programme, but who presents sufficient evidence of ill health or any other extenuating circumstance such that, in the judgement of the board, there is no reasonable possibility that the student can complete the degree programme. When considering the option of recommending this award, boards of examiners should be mindful of the possibility of seeking a concession to enable the student to sit the assessments at a later date, and so be eligible for a classified degree. In addition, the board should consider the appropriateness of recommending the award of a postgraduate diploma or certificate.

60. It is not open to the board to grant an Aegrotat to students registered on certain professionally accredited programmes. A student to whom an Aegrotat is awarded shall be deemed to have obtained the award but without classification.

*Note: the Student Progress Service should be consulted prior to the award of Aegrotat degrees.*

W. Retention of Assessed Work

61. All material for assessment, which significantly contributes to the final award and its class, should be retained for a period of one year after the award of the degree or other qualification.
IX. Examination Conventions for Research Masters’ Degrees
(excluding MPhil Programmes)

A. Scope

1. These conventions shall be understood alongside the definition of terms in the Masters’ Degree Progress Regulations, Taught and Research, Regulations, and in conjunction with requirements laid down in the General Regulations of the University, and shall be read together with any examination conventions specific to the degree programme as approved by the relevant faculty teaching and learning committee.

2. These Examination Conventions apply to all students of Newcastle University who, having met the requirements of the University’s General Regulations and of the Masters’ Degree Progress Regulations, are eligible to submit a dissertation for examination for a Research Masters degree. Research Masters’ degrees are tailor-made programmes which reflect specific research themes & aims and which incorporate research preparation. At least 80 credits of the programme are dedicated to the research dissertation. The research dissertations are examined by individually appointed internal and external examiners who are asked to make a joint recommendation to an examination committee regarding the award of a degree.

B. Examination Committee

3. An examination committee shall be appointed for each award-bearing programme. An examination committee may be responsible for a number of programmes. Membership of an examination committee shall include the relevant degree programme director(s), named representatives of the main areas of study involved in the programmes and the appointed examiners. The membership of each examination committee shall be proposed by the relevant board of studies and names of the chair and secretary reported to the appropriate faculty teaching and learning committee and to the examinations office.

Chair of the Examination Committee

4. The chair is responsible for conducting all meetings of the committee, and for ensuring that all decisions are taken by the committee in the full knowledge of all the performances for each student. In appropriate cases, the examination committee may delegate to the chair the right to consider and make decisions. In so doing, the chair should consult as many members of the committee as possible (including the internal and external examiners). Action taken by the chair must be reported to the next scheduled meeting of the examination committee. The chair shall exercise discretion only in a manner consistent with the practices outlined in these regulations and any additional agreed principles of the committee. All agreed mark sheets, confirming decisions taken by the examination committee, shall be signed by the chair.
Secretary
5. The examination committee shall appoint a secretary who shall be responsible for ensuring that all examiners and members of the examination committee are informed of meetings. The secretary shall also be responsible for keeping a record of all decisions reached by the committee. In all cases of the exercise of discretion, the reason for the decision shall be recorded.

Scrutiny Sub-Committee
6. The scrutiny sub-committee normally consists of the chair of the examination committee and two other senior members of staff. A secretary shall also be in attendance and shall keep a record. The committee’s business may take place immediately prior to the examination committee meeting. The sub-committee reviews and considers medical and mitigating circumstances which may have affected a candidate's performance. The chair reports the sub-committee's recommendations to the examination committee. The examination committee shall, accordingly, be made aware if medical or mitigating circumstances have been put forward for or by a student; however, no more detail than is necessary shall be disclosed, and this shall include no personal or medical details. All personal information shall be handled by the examination committee in accordance with the requirements of the Data Protection Act.

Internal and External Examiner
7. A candidate's research dissertation shall be examined by one internal and one external examiner nominated by the head of school or other faculty nominee and appointed by the dean of postgraduate studies. The examination shall consist of a review and assessment of the candidate's research dissertation (and where appropriate, other artefacts). A candidate may be required to take an oral examination in addition to submitting a research dissertation.

8. A member of the supervisory team will not be appointed as an internal examiner. Where the University is unable to appoint an internal examiner a second external examiner will be appointed.

C. Absence from Examinations, Failure to Submit Assessed Work and Assessment Irregularities
9. Where a student has been absent for any reason from an examination, a mark of zero shall be returned for that component of the assessment. Where a student has failed to submit any other element of the assessment, a mark of zero shall be returned for that element. Any late submissions must be considered in line with the University's Policy on Late Submission of Assessed Work, available at; www.ncl.ac.uk/aqss/qsh/examinations_and_assessment/late_submission.pdf

10. Where a student has failed to comply with any other assessment requirement, the consequence, if any, stipulated in the degree programme handbook shall apply.
11. The University’s procedure for assessment irregularities shall apply to any reported or suspected cheating or plagiarism. It should be clear that sanctions imposed under the Assessment Irregularity Procedure takes precedence over the examination committee, and therefore cannot be overturned. The procedures are available at: www.ncl.ac.uk/students/progress/staff-resources/procedures.htm

D. Marking Procedures

12. It shall be a duty of all examiners to carry out all assessments in accordance with the published assessment criteria approved by faculty teaching and learning committee and normally available in degree programme handbooks.

13. The following shall constitute the procedure and, where appropriate, minimum requirements, for marking throughout the University. This takes into account the significance of the assessment, the type of the assessment, and the experience of the marker:

   (a) All marking shall be guided by explicit statements of standards, which shall be published in the degree programme handbook;

   (b) Assessments shall be marked, internally moderated, and a profile of marks for each student be forwarded to the student’s individually appointed external examiner. The External Examiners can request to view any of the assessments listed in the student’s profile of marks. The External Examiner can then offer a view on the overall profile of the student prior to award;

   (c) Marking of assessments by a marker with less than one year's experience of academic marking to this University's standard should be moderated by a more experienced marker.

E. Return of Marks

14. The mark for each module on a Masters degree programme, postgraduate diploma or postgraduate certificate must be returned to the examination committee and disclosed to students using the University Common Scale for the return of marks below:

<table>
<thead>
<tr>
<th>Marking scale applicable to postgraduate masters programmes</th>
<th>Marking scale applicable to postgraduate certificate and diploma programmes</th>
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</thead>
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<td>0-50 Fail</td>
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</tr>
</tbody>
</table>

15. The final mark returned for the assessment of any module, shall be rounded to the nearest whole number before being returned to the relevant examination committee. The rounding of marks shall follow the convention:
decimal marks with a decimal component of 0.5 or larger shall be rounded up to the next whole number; marks with a decimal component of less than 0.5 shall be rounded down to the next whole number. Averages for the purpose of determining awards shall be calculated using the same method.

F. Publishing and Adjusting Marks
16. Marks awarded for coursework and examinations will be disclosed to students within the University's guideline of four weeks with the caveat that they are provisional marks only and will be subject to review, and to possible moderation.

G. Credits Required and Using Credit Value
17. Students are required to study 60 credits for a postgraduate certificate, 120 credits for a postgraduate diploma and 180 credits for a Masters degree in line with the requirements outlined in the University's Qualifications and Credit Framework. All modules of a programme contribute towards the final award and its classification. The weighting of modules for assessment purposes shall correspond to the credit value of the module specified in the relevant degree programme regulations. Such weighting of modules may be adjusted in accordance with any degree programme regulations only to allow for additional weighting allocated to non-modular aggregated assessment.

H. Progression within Research Masters’ Programmes
18. Where there are progression requirements specified in the degree programme regulations, a student must, before proceeding from one stage to another, satisfy the examiners in the assessment for each module of that stage including the possible exercise of compensation. This may require the student’s profile of modules to be considered by the chair of the examination committee prior to being allowed to progress to the research dissertation.

J. Principles of Compensation
19. A student who fails up to 40 credits of the non-dissertation element of the programme shall still be awarded a Masters degree provided the following compensation rules are met:

(a) the average mark over all of the assessments (including any reassessments) for the whole programme, based on simple aggregation (taking into account the credit value of the modules) is at least 50;

(b) no single mark for any module assessed is below 40;

(c) no such compensation is permitted for core modules (PGT Progress Regulation A 1(f)) and the dissertation module.

20. Degree programme regulations specify whether and how compensation may be applied to non-modular aggregated assessment.
K. Principles of Discretion  
21. Notwithstanding the student’s results, and without prejudice to the requirements for professional accreditation, the examination committee may, in its ultimate discretion:

(a) deem a student to have passed specific modules – including core modules,

(b) recommend a student eligible to leave the University with an award, for a higher award or degree classification (See conventions M 28-29).

22. The exercise of discretion does not set a precedent as each individual case should be considered on a case by case basis. However, in any discussion regarding the possible exercise of discretion, the examination committee shall ensure that no student in similar circumstances has been treated less favourably.

23. The reasons for exercising or not exercising discretion shall be recorded in the minutes of the proceedings in every case where the exercise of discretion is considered, both those where such consideration is required under Convention 40 or where it is considered on other grounds. The minutes shall record the issues raised and the decisions reached, whilst maintaining, wherever possible, the anonymity of examination committee members contributing to the debate. The minuted instances of discretion shall be considered by the board of studies and subsequently sent in an annual anonymised summary report to faculty teaching and learning committee.

L. Reassessment

24. A student who passes a module (including by compensation or discretion) cannot be reassessed for any component of that module.

25. A student who fails up to 40 credits of the taught element of the programme has the right to one reassessment for each module failed. The form of the reassessment may vary from the original, at the discretion of the board of studies.

26. A student who fails more than 40 credits of the taught element of the programme will not normally be permitted to continue or be reassessed without the support of the chair of the examination committee.

27. The timing of any reassessment will be such that a student’s progression is not unduly delayed. The examination committee may stipulate a period for reassessment which is outside the University’s normal assessment and resit periods.

M. Use of Discretion

28. The examination committee under Conventions K21-22 has a general power to exercise discretion to treat any student more generously than the numerical and other conventions require.

29. The examination committee must consider whether students should be awarded a higher classification of degree by the exercise of discretion in the following cases:
(a) where there is a positive assessment of the impact of medical or other mitigating circumstances by the Scrutiny Sub-Committee (Convention B6). Discretion may be applied to progression or to classification decisions;

(b) where students have weighted averages of 68 or 69, 58 or 59, 48 or 49 (after rounding of marks).

30. The examination committee may use discretion either to pass any candidate in the whole or any part of the assessment or to give a higher award than the class of award to which the student is entitled by right (e.g. to give a Pass with Merit or a Pass with Distinction). In any discussion regarding the possible exercise of discretion, the examination committee shall ensure that no student in similar circumstances has been treated less favourably as a result of any particular decision. The reasons for recommending or not recommending a higher class of degree shall be recorded in the minutes of the proceedings. The minutes shall record the issues raised and the decisions reached, whilst maintaining, wherever possible, the anonymity of board members contributing to the debate. The minuted instances of discretion shall be considered by the board of studies and subsequently sent in an annual report to faculty teaching and learning committee. No student shall be identified in this report.

N. Use of Marks after Reassessment, Compensation or Discretion

31. Where a student has achieved a passing mark following reassessment, or has been deemed to have passed in an assessment by the exercise of compensation or discretion, the mark used by the examination committee shall be a mark of 50. The mark achieved by the student must be recorded on the transcript, with an appropriate note if compensation or discretion has been applied, and a statement that a mark of 50 will be used in any calculations. However, in such cases, the examination committee may, in its ultimate discretion, have regard to the actual mark obtained at the second occasion of assessment.

32. Where a student has passed modules by the discretion of the examination committee s/he shall be eligible as of right only for the award of a Pass.

P. Nature of the Dissertation Examination

33. The examination shall consist of a review and assessment of the candidate’s research dissertation by the examiners appointed.

34. The examiners shall determine whether or not the candidate should be examined orally. The normal practice will be that an oral examination is only convened when the external examiner contacts the graduate school to request an oral examination and the supervisor will be asked to coordinate the arrangements. The purpose of the viva is to enable the examiners to:

(a) establish that the research has been undertaken by the candidate;
(b) test the ability of the candidate to defend his or her work;

(c) establish whether the candidate has a satisfactory knowledge of the wider field surrounding the research topic.

35. If an oral examination is required, the academic supervisor may, at the request of the student, be present during the oral examination but will make no contribution to the examination. However, in all cases, the main supervisor should be available to be consulted by the examiners on the occasion of the oral examination and will have the right to confer with the examiners on request.

36. Where an oral examination is held, the purpose of such an examination will be to enable the examiners to determine whether the student has reached a satisfactory level of knowledge and understanding for the award of the degree at the pass/merit/distinction level. An oral examination may also be used to establish that the research has been undertaken by the candidate. Any oral examination shall be conducted in accordance with the guidelines in the University’s *Handbook for Examiners of Research Degrees*.

37. In examining a candidate’s research dissertation, the examiners should take into consideration both the extent and merit of the work submitted and the quality of the exposition. With regard to the extent of the work, the examiners should satisfy themselves that the candidate’s work shows evidence of adequate industry and application. With regard to the merit of the work, the candidate is expected to show distinct ability in conducting research investigations and in testing ideas, whether the candidate’s own or others’. The exposition of the work in the research dissertation must be clear and must show that the candidate understands the relationship of the work embodied in the research dissertation and the theme of that work to a wider field of knowledge.

R. Recommendations Open to the Examiners

38. Following submission and examination of a candidate’s research dissertation, the examiners should return an agreed mark and make one of the following recommendations:

(a) That the candidate be awarded the relevant Research Masters degree;

(b) That the candidate be allowed to revise and resubmit their dissertation, normally within a period of six months of receiving formal notification of the revisions to be made. The revised thesis will be examined by the internal examiner;

(c) That the Research Masters degree not be awarded and that the candidate be returned to the examination committee for consideration of a postgraduate diploma or postgraduate certificate.

S. The Award and Classification of Masters Degrees

39. A student is recommended, as of right, for the award of an appropriate Masters degree if all the requirements for the award are met and all the modules in the degree programme are passed.
40. The class of award is determined as follows and returned to the graduate school by the examination committee:

(a) Candidates are entitled as of right to the class of degree yielded by the average mark for all modules and all non-modular aggregated assessment taking credit values into account.

(b) Candidates with weighted averages of 48 or 49, 58 or 59, 68 or 69, (after rounding of marks) shall always be considered for the next higher class of award. However, the examination committee are not limited to this category of student when considering the use of discretion.

(c) All students considered for discretion by the examination committee should have their decisions minuted accordingly, see convention K23.

(d) The examination committee, in determining the manner in which it shall exercise this power for each student, shall have regard to the following:

(i) The overall profile of individual marks achieved in modules;
(ii) Exceptional performance in the research dissertation, as recommended by the examiners;
(iii) Any recommendation from the scrutiny sub-committee on the effect and scope of Medical or other mitigating circumstances that were submitted to the scrutiny sub-committee, see convention B6.

T. Award of a Postgraduate Diploma

41. A candidate for a Masters degree, who fails to meet the criteria for the Masters degree, may be recommended for the award of a postgraduate diploma by the board of examiners:

(a) Where there is an associated postgraduate diploma, this may be awarded using the criteria laid down in those regulations;

(b) Where there are no associated regulations, a postgraduate diploma may be awarded to a candidate who has achieved an average mark of at least 50 over the course of 120 credits, which may include the dissertation element.

42. A student who fails up to 40 credits of the 120 credits for the programme may still be awarded a postgraduate diploma provided the compensation rules are met in accordance with convention 19 a - c.

43. The award of a postgraduate diploma is not classified under this provision.

U. Award of a Postgraduate Certificate

44. A candidate for a Masters degree or postgraduate diploma, who fails to meet the criteria for the Masters degree or diploma, may be recommended for the award of postgraduate certificate by the board of examiners:
(a) Where there is an associated postgraduate certificate, this may be awarded using the criteria laid down in those regulations;

(b) Where there are no associated regulations, a postgraduate certificate may be awarded to a candidate who has achieved an average mark of at least 50 over the course of 60 credits.

45. A student who fails up to 20 credits of the 60 credits for the programme may still be awarded a postgraduate diploma provided the compensation rules are met in accordance with convention 19 a - c.

46. The award of a postgraduate certificate is not classified unless specific programme regulations are in place.

V. Minor Revisions or Corrections

47. Where resubmission of the research dissertation is required, the candidate shall normally be required to make the revisions within six months of receiving formal notification of the revisions to be made.

48. In exceptional cases, an extension of time for making the corrections may be granted by the appropriate dean of postgraduate studies, subject to the candidate presenting a case justifying such an extension, supported by the candidate's main supervisor.

49. It shall be the expectation that the research dissertation will not require referral back to the external examiner and that the candidate will not be expected to undergo a further oral examination. However, if the internal examiner feels that it is appropriate following reconsideration of the research dissertation after the revisions have been made, the internal examiner shall refer the research dissertation to the external examiner. Where a research dissertation is thus referred to the external examiner, the examiners may determine that a further oral examination is required.

W. Recommendations After Resubmission of the Dissertation for Re-examination by the Internal Examiner

50. Where a candidate has been permitted to revise and resubmit a research dissertation the options open to the examiners when re-examining the research dissertation shall be those set out in conventions 38 (a) or (c) only.

X. Provision to the Candidate of Information about Revisions Required

51. In all cases where a candidate is required to make revisions to a research dissertation it shall be the responsibility of the examiners to provide full details of the corrections and/or revisions required of the research dissertation. The examiners shall provide to the candidate and the candidate's supervisor as soon as possible after the examination, a written statement of the nature of the changes they wish to see made to the research dissertation. The examiners should also attach a copy of this statement to their final report which shall be forwarded to the candidate and the candidate's supervisor by the relevant graduate school office. When forwarding the final report to the
candidate, the graduate school office will make it clear to the candidate that resubmission will not guarantee the award of a qualification.

Y. Communication of the Result to the Candidate

52. Only the graduate school is empowered to communicate the results of the examination or re-examination formally to the candidate. In any case where an examiner or a school chooses to give the candidate an informal indication as to the recommendation that will be put forward, the examiner or school concerned must stress that the recommendation is subject to ratification and that only the graduate schools (on behalf of the Academic Registrar) are empowered to issue official results.

Z. Disagreement between the Examiners

53. If there is a disagreement between the examiners of the research dissertation where possible they shall initially collaborate to resolve the matter. Where there is irreconcilable disagreement between the examiners an additional independent examiner shall be appointed.

54. The additional examiner shall be told that the original examiners have failed to reach agreement but will not have sight of their report. The additional examiner shall be asked to read the candidate's research dissertation and decide whether an oral examination is required. If there is to be an oral examination the candidate's supervisor (and where appropriate the internal examiner) shall be available to be consulted by the additional examiner. The dean of postgraduate studies shall appoint a member of University staff as an independent observer, who will report on the conduct of the viva, if required. The additional examiner's recommendation shall be final. He/she shall submit a final report to the relevant graduate school office which will, subject to the approval of the relevant dean of postgraduate studies, be forwarded to the candidate and the candidate's supervisor in the normal way.

55. Where an additional examiner has been appointed, the candidate shall be informed of this and whether another oral examination is required. The candidate shall not be informed as to the nature of the disagreement and shall not be given a copy of their report. If, however, the candidate subsequently appeals against the final decision in respect of the award of the degree, the report of the original examiners will form part of the formal record of appeal. Once a decision as to the award of the degree has been made the final report of the additional examiner shall be made available to the candidate and the candidate's supervisory team.

56. In the event that recommendation 38(b) is made, that is, admission to the degree subject to revisions being made within six months, the revisions shall be subject to the satisfaction of the additional examiner.
X. Master of Philosophy Degree Regulations

Postgraduate research candidates are responsible for making themselves familiar with the Guidelines for Research Students approved by Senate from time to time which are available to them each academic year and which are included in the Handbook for Research Students and Supervisors.

The basis for the award of the degree of Master of Philosophy 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 Master of Philosophy are required to show familiarity and understanding of the chosen subject and its principal sources and authorities. A candidate must demonstrate the ability to deal with the chosen subject in a competent and scholarly manner displaying critical discrimination and a sense of proportion in evaluating the evidence and opinions of others. The thesis submitted by the candidate should be clear, well-written and orderly in arrangement and include a bibliography in which the sources used are accurately and systematically presented.

2. Where the University has approved that research candidates may be registered and managed by a research institute, the director of the institute has the same authority and responsibility as a head of school. In these situations references to school and head of school include institute and director of institute.

B. Admission as a Candidate for the Degree of Master of Philosophy

3. An applicant may be approved for admission as a candidate for the degree of Master of Philosophy 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 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;

   (b) has completed an approved application, including:

      (i) an indication of the intended field of advanced study and research;

      (ii) evidence that the applicant’s English language proficiency meets the published requirements for the programme of research;
(iii) evidence of the applicant's suitability to become a candidate in
terms of academic ability and prior training and experience;
(c) has supplied details of two recent referees and evidence of
qualifications and experience as the postgraduate admissions
selectors and/or the dean of postgraduate studies may require.

4. Where an applicant has previously studied for a Master of Philosophy at
another institution and wishes this to be taken into account at Newcastle
University, the application must be approved by the dean of postgraduate
studies.

5. In considering an application for admission as a candidate for the degree
of Master of Philosophy, 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. Admission as a Staff Candidate for the Degree of Doctor
   of Philosophy

6. In addition to the requirements set out in Regulation B, a member of staff
seeking approval as a staff candidate for the degree of Master of Philosophy
shall be required to complete and submit the approved staff candidature
application form at the outset of studies in which is set out:
   (a) an indication of the field of advanced study and research;
   (b) details of the nature of the appointment held by the member of staff
       and its duration;
   (c) approval from both the head of the school of employment and the
       head of school of study.

   Note: For the purpose a agreeing staff candidature, the applicant must hold a
   substantive post, defined as being a contract of employment of at least 25%
   FTE over a full 12 months period, and covering the annual period of
   registration with the University. This does not include people who were initially
   Students and then employed part-time by the University, e.g. as
   demonstrators, General Duty Assistants, Laboratory Technicians, etc.

D. General Preconditions to the Award of the Degree of
   Master of Philosophy

7. Before being awarded the degree of Master of Philosophy, a candidate
must:
   (a) satisfy the entrance requirements for the degree;
   (b) register for and make satisfactory progress throughout the relevant
       programme of study;
   (c) satisfy the examiners in the assessments specified.
E. Supervision of Students

8. A candidate for the degree of Master of Philosophy must engage in advanced study and research under the direction of a supervisory team in the University. The academic supervisor is appointed by the head of school, or nominee, before a candidate is accepted onto the programme of study.

9. To be eligible to supervise candidates for the degree of Master of Philosophy, a member of staff must hold a research degree or have equivalent research expertise. The appropriateness of the research degree or equivalent expertise should be determined by the relevant head of school in consultation with the dean of postgraduate studies.

10. The head of school will appoint a member of the supervisory team to be the academic supervisor. The academic supervisor will be a member of staff of Newcastle University and will normally have had previous experience of at least one successful supervision. The academic supervisor will have primary responsibility for supporting the candidate throughout the period of study. Any reference to the supervisor or supervisory team in these regulations or in the Guidelines for Research Students or in other documents shall be deemed to be a reference to the supervisory team. However, practically, the academic supervisor will normally act on behalf of the supervisory team for matters other than progression.

11. In any case where candidates are studying outside the University at another institution, arrangements may also be made for local supervision and support to be provided to the candidate by staff at that institution (see Regulation 17). Such arrangements will supplement the role of the academic supervisor detailed in Regulation 9 above.

12. Where only one supervisor is available an additional adviser will be appointed by the head of school, with the approval of the dean of postgraduate studies.

F. Period of Study and Registration Requirements

13. An applicant may be approved as a candidate for the degree of Master of Philosophy on the basis of either:

   (a) a minimum period of 12 months in full-time study; or
   
   (b) a minimum period of 24 months in part-time study.

14. Approved candidates shall be required to register as appropriate as full-time or part-time students of the University for the duration of the minimum period specified, and to abide by the requirements of the University's General Regulations. A candidate’s period of study is reckoned from the date of first registration for the degree of Master of Philosophy.

Note: Staff candidates shall be deemed to be registered as part-time students during their period of candidature and therefore, shall normally be two years in length as outlined in regulation 13(b). However, if the dean of postgraduate studies is satisfied that the greater part of the candidate’s time is devoted to supervised research the candidature can be deemed to be 1 year of full-time study as outlined in regulation 13(a).
15. Any candidate who wishes to transfer from one of the categories of candidature specified in Regulation 13 to another such category may do so only with the approval of the appropriate dean of postgraduate studies and subject to the recommendation of the relevant supervisory team and head of school.

16. In all cases of candidature approved under Regulation 13, approved candidates shall be required to register continuously from commencement of their candidature until their thesis is submitted. During this time a candidate must abide by the requirements of the University's General Regulations. A candidate’s period of study shall be reckoned from the date of first registration for the degree of Master of Philosophy.

G. Study Undertaken Outside the University

17. Any candidate may be permitted by a dean of postgraduate studies, on the recommendation of the relevant supervisory team and head of school, to study outside the University, provided that in respect of any period of study not undertaken in the University, the dean of postgraduate studies is satisfied before the beginning of that period of study that:

(a) the candidate will have access to adequate facilities and resources;
(b) sufficient time for study and research will be available to the candidate;
(c) appropriate arrangements have been made for the candidate’s supervision during the period of study outside the University, including arrangements for the supervisory team to maintain contact with and to meet with the candidate as often as is necessary;
(d) appropriate arrangements have been made in any case where the candidate is attached to or working at an institution outside the University and is offered local supervision and support by staff at that institution.

Note: that any candidate 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.

H. Attendance and Progress

18. A candidate registered for the degree of Master of Philosophy shall comply with the University’s requirements for progression, as follows:

(a) Within 3 months of registering for the research programme, the candidate and the University shall have signed an approved learning agreement to cover the period of candidature;
(b) Candidates who are pursuing a course of study without a pre-approved project proposal should, within the guidelines identified by the graduate school up to a maximum of six months, submit project proposals for approval by an independent school panel. Progression on the programme will be dependent upon acceptance
of the project proposal. If, even after a re-assessment opportunity, the school panel does not approve the arrangements for the project it will be the annual progression panel that will be required to make a recommendation regarding the outcome for a candidate (see Regulation 21);

(c) Candidates should attend the University as frequently and at such intervals as the supervisory team shall require, bearing in mind whether the candidate 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 approved by Senate, 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;

(d) Candidates should maintain a record of their personal development throughout their period of registration and submit this as evidence of development on an annual basis;

(e) Candidates should submit reports and evidence of achievement as specified by the school or graduate school on an annual basis. Candidates 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 candidate.

19. The school will appoint a progress panel for each candidate. The progress of each candidate will be reviewed annually, although this requirement may be stayed at the discretion of the dean if the candidate is ready to submit a thesis within the 12 month registration period.

20. The supervisory team shall submit an annual report concerning the progress of the candidate’s research for review by the appointed progress panel.

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

(a) that the candidate’s performance is satisfactory and that study for the Master of Philosophy may continue;

(b) that notwithstanding some concerns which the candidate and supervisory team should note, the candidate’s overall performance is satisfactory and that the candidate may continue;

(c) that the candidate’s performance is unsatisfactory and that a further assessment should be held within two months to determine whether progress on the programme will be recommended;
(d) that the candidate’s performance is unsatisfactory and that no submission for a Master of Philosophy examination is recommended, and that the candidate's candidature is terminated.

*Note:* That the progress panel should not normally recommend that a candidate’s registration is terminated (Convention 21(d)), without having previously provided a further assessment opportunity to the candidate (Convention 21(c)).

22. In exceptional cases where the progress panel is not satisfied that the supervisory arrangements are adequate and appropriate, but considers that the candidate 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 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 procedures are available at [www.ncl.ac.uk/students/progress/staff-resources/procedures.htm](http://www.ncl.ac.uk/students/progress/staff-resources/procedures.htm)

### J. Progress of Candidates Intending to Transfer to Registration for the Degree of Doctor of Philosophy

24. Candidates who are accepted as candidates for the degree of Master of Philosophy intending subsequently to transfer to the degree of Doctor of Philosophy, must normally have received the approval of the relevant dean of postgraduate studies to transfer not later than 12 months after commencing their studies (if studying full-time) and not later than 24 months (if studying part-time). Transfer from registration for the degree of Master of Philosophy to registration for the degree of Doctor of Philosophy shall not normally be permitted unless the candidate has been registered for the degree of Master of Philosophy for at least nine months. Any candidate shall, for all purposes under the regulations for the degree of Doctor of Philosophy, be deemed to have registered for that degree at the date of initial registration as candidate for the degree of Master of Philosophy.

### K. Mid Year Procedure for Dealing with Unsatisfactory Progress

25. A candidate whose progress is considered unsatisfactory by the supervisory team at times other than the normal occasions of 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 candidate's attendance, progress and performance may be monitored; 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. The candidate
shall also be given the opportunity to submit a report to the progress panel. The progress panel will make a report to the dean of postgraduate studies via the graduate school (in accordance with Regulation 21).

L. **Procedure for Review of Penalties for Unsatisfactory Progress**

26. A candidate applying for review of the decision of the progress panel may only do so in writing, using the University Academic Appeals Procedure, specifying one or more of the following grounds:

   (a) that some irregularity in following the required procedure had occurred;

   (b) that the progress panel were not aware of circumstances affecting the candidate’s performance. (That is: the candidate 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);

   (c) inadequate assessment by the progress panel;

   (d) bias or prejudice on the part of the progress panel.

M. **Interruption of Study**

27. The University normally expects candidates to complete their candidature in a single continuous period, i.e. continuously registered until the submission of the thesis. However sympathetic consideration will be given to requests for interruption arising due to unforeseen mitigating circumstances. Candidature should not normally be held in abeyance for more than 12 months. An Interruption to candidature may be granted by the appropriate dean of postgraduate studies, subject to the candidate providing strong justification for an interruption, supported by the supervisory team.

N. **Teaching Duties**

28. Students for the degree of Master of Philosophy may undertake paid duties in the University during term 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 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.*

www.ncl.ac.uk/aqss/qsh/PG_Who_Teach_Policy.pdf

P. **Submission**

29. The results of a candidate’s advanced study and research must be embodied in a thesis in the approved form (see items XVII and XVIII). The length of a thesis shall be determined bearing in mind the requirements laid down, or guidance issued, if any, by the candidate’s graduate school. The
thesis must be submitted, together with the necessary submission form and other material, to the relevant graduate school office.

30. The exact title of a candidate’s thesis should normally be submitted on the appropriate form for approval by the dean of postgraduate studies not less than one month before the thesis is submitted.

31. The thesis for all candidates must be submitted for examination within the period specified below from the date appointed as the beginning of the period of study:
   
   (a) within two years in the case of candidates registered full time;
   
   (b) within three years in the case of candidates registered part time.

32. Except with the permission of the appropriate dean of postgraduate studies, a candidate may not submit a thesis earlier than the beginning of the last term of the prescribed period of study. Candidates who submit a thesis at the beginning of the last term of the prescribed period of study or, with the appropriate permission, earlier, shall nevertheless still be required to pay tuition fees (full-time or part-time as appropriate, depending on the type of candidature) for the whole of the prescribed period of study.

R. Candidates Registered as ‘Writing Up’ before 1st August 2009

33. Candidates who have completed their research and who require the continued use of University library and computing facilities but who are completing the writing of their thesis and do not need normal supervision may be permitted on the recommendation of their supervisory team in consultation with the appropriate head of school to register as 'full-time (writing-up)' or 'part-time (writing-up)' candidates. The full-time (writing-up) mode of registration is open only to those who have completed the minimum period of registration specified in Regulation 13(a) above.

Notes

(i) Candidates who have completed the minimum period of registration specified in Regulation 13(b) will not be permitted to register under the full-time (writing-up) mode of registration.

(ii) Since candidates at the writing-up stage will have completed all experimental work and data collection, those who are registered under either of the writing-up categories 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).

(iii) It is expected that candidates who are registered as writing-up will no longer require regular structured interactions with members of the supervisory team and that supervision will be significantly reduced.

34. Exceptionally, a candidate who is neither required to register nor chooses to register after the completion of the minimum required period of registration specified in Regulation 13 is deemed to be on a leave of absence from the University. The reason for the absence shall be noted as writing-up,
but it is understood that such a candidate will not normally be granted access to University facilities or supervisory support.

S. Pending Submission for Candidates completing their minimum period of Candidature after 31 July 2009

35. All Candidates, staff or students, who have completed their minimum candidature and have not submitted their thesis may be permitted on the recommendation of their progress panel to register as ‘pending submission’ candidates for one further year. ‘Pending submission’ candidates are required to register with the University and pay the appropriate tuition fee.

Notes
(i) Candidates who have completed their minimum candidature and still require more time to work on their research and submit their thesis must register with the University

(ii) The fact that a candidate has completed their minimum candidature does not of itself constitute grounds for transferring to ‘pending submission’ registration with a reduced fee. Candidates who require normal facilities and supervision will pay the full fee for their candidature. Candidates registering under the ‘pending submission’ category with a reduced fee 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).

(iii) It is expected that candidates who are registered as ‘pending submission’ with a reduced fee will no longer require regular structured interactions with members of the supervisory team and that supervision will be significantly reduced, to approximately half of the fully registered provision. However, full access to Library and computing facilities will be available.

T. Extensions of Time for Submission

36. In exceptional cases, an extension of time for submission may be granted by the appropriate dean of postgraduate studies, subject to the candidate presenting a case justifying such an extension, supported by the supervisory team. Candidates granted extensions of time in accordance with this provision, may be required to pay fees as the University shall prescribe from time to time.

U. Examination

37. Details of the required arrangements for the examination are provided in the Master of Philosophy Examination Conventions.

V. Language of Submission

38. A candidate’s thesis must be written in English. In exceptional cases, subject to the candidate justifying such a concession, the appropriate dean of postgraduate studies may allow the candidate to submit a thesis written in a modern language other than English. Such a concession shall be granted only
where a candidate 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.

Note
The University cannot undertake to arrange the examination of a thesis immediately after its submission. Candidates are warned that several weeks may elapse between the submission of a thesis and the completion of the examination, and should consult with their academic supervisor well in advance. The normal period between a submission of a thesis and an examination is ten weeks, although circumstances may necessitate a longer time frame.
XI. Master of Philosophy Examination Conventions

A. Scope

1. These Examination Conventions apply to all candidates of Newcastle University who, having met the requirements of the University's General Regulations and of the Master of Philosophy Degree Regulations, are eligible to submit a thesis for examination for the degree of Master of Philosophy.

B. The Examiners

2. A candidate’s thesis shall be examined by examiners appointed by the dean of postgraduate studies on behalf of Senate. The examination shall consist of a review and assessment of the candidate’s thesis (and where appropriate, other artefacts). A candidate may be required to take an oral examination in addition to submitting a thesis.

3. For student candidates there shall ordinarily be one external examiner and one internal examiner appointed for each candidate. For all staff candidates the examination shall be conducted by two external examiners appointed for each candidate.

4. All examiners will be nominated by the relevant head of school in consultation with the candidate’s academic supervisor. Such nominations shall be submitted on the approved form at the same time as the candidate submits an application for approval of thesis title.

5. Where the University is unable to appoint, or chooses not to appoint, an internal examiner for a student candidate a second external examiner will be appointed. In all cases where two external examiners are appointed, the dean of postgraduate studies will also appoint an independent member of University staff who will chair the viva.

6. The supervisory team will provide candidates with the opportunity to comment on the nominated examiners. If the candidate believes that there is a concern about the nominated examiners this should be drawn to the attention of the supervisory team and the head of school in writing, as soon as possible. Examiner appointments will, however, be reviewed only if it is clear that there may be bias or prejudice by an examiner.

7. A member of the supervisory team will not be appointed as an internal examiner. Where the University is unable to appoint an internal examiner a second external examiner will be appointed.

8. A former member of staff of the University shall not normally be appointed as an external examiner until at least five years have elapsed since that person left the employment of the University. A retired member of staff of the University shall not normally be appointed as an external examiner. A retired member of staff of another institution may be appointed as an external examiner only if he or she is still active in the field of research and study concerned.
C. Nature of the Examination

9. The examination shall consist of a review and assessment of the candidate’s thesis by the examiners appointed, chaired by the external examiner.

10. (a) The examiners shall determine whether or not the candidate should be examined orally. It should be noted that the examiners cannot make the recommendation of a fail without giving the candidate an opportunity of an oral examination. The normal practice will be that an oral examination is convened unless the external examiner contacts the graduate school to stay the oral examination.

(b) Exceptionally, and two weeks or more in advance of a scheduled viva, if the external examiner upon initial independent review of the thesis is unequivocally of the view that the thesis is not worthy of defence without significant re-work by the candidate, s/he shall contact the graduate school. The dean of postgraduate studies shall determine whether it is appropriate to permit the examiners to prepare a joint report. The decision reached under these arrangements shall be limited to Convention 15(b)iii only – i.e. permitting resubmission, where an oral examination will be required after resubmission.

(c) If an oral examination is required, the academic supervisor may, at the request of the candidate, be present at (but will make no contribution to) the oral examination. S/he should in all cases be available to be consulted by the examiners on the occasion of the oral examination. The supervisor will have the right to confer with the examiners following the oral examination, and to be given an oral report on its outcome.

(c) The academic supervisor will co-ordinate the arrangements for the oral examination and inform the graduate school of the details.

11. Where an oral examination is held, the purpose of such an examination will be to enable the examiners to:

(a) establish that the research has been undertaken by the candidate;

(b) test the ability of the candidate to defend his or her thesis;

(c) establish whether the candidate has a satisfactory knowledge of the wider field surrounding the research topic.

12. In examining a candidate’s thesis, the examiners should take into consideration both the extent and merit of the work submitted and the quality of the exposition. With regard to the extent of the work, the examiners should satisfy themselves that the candidate’s work shows evidence of adequate industry and application. With regard to the merit of the work, the candidate is expected to show distinct ability in conducting original investigations and in testing ideas, whether the candidate’s own or others'. The exposition of the work in the thesis must be clear and must show that the candidate understands the relationship of the work embodied in the thesis and the theme of that work to a wider field of knowledge.
13. In the case of any work done jointly, or in wider collaborations, or under direction, it is important that the extent of the candidate's own contribution is made clear both in any introductory element of the thesis and at relevant points within the thesis.

D. Examiners' Final Reports

14. Having considered all the evidence presented to them, the examiners shall submit, on the approved form, a joint report on the examination. The report shall include a written statement concerning the candidate's performance together with a recommendation as to the outcome of the examination.

E. Recommendations Open to the Examiners

15. Following the first submission and examination of a candidate, the examiners may make the following recommendations:

(a) (i) that the candidate be admitted to the degree of Master of Philosophy; or
   (ii) that the candidate be admitted to the degree of Master of Philosophy subject to minor corrections of the text made to the satisfaction of the internal examiner, normally within a period of one month of receiving formal notification of the corrections to be made; or
   (iii) that the candidate be admitted to the degree of Master of Philosophy subject to minor revisions being made to the satisfaction of the internal examiner, normally within a period of six months of receiving formal notification of the revisions to be made;

(b) (i) that the candidate's thesis be deemed to be of a satisfactory standard, but that the candidate be adjudged to have failed to satisfy the examiners in the oral examination and that the candidate therefore be required to submit within six months either for a second oral examination or for a written examination, as the examiners shall determine;
   (ii) that the candidate be adjudged to have failed to satisfy the examiners and the candidate be permitted to revise and re-submit the thesis within twelve months without a further oral examination; or
   (iii) that the candidate be adjudged to have failed to satisfy the examiners and the candidate be permitted to revise and re-submit the thesis within twelve months and be re-examined orally;

(c) that no degree be awarded and that the candidate be adjudged to have failed.
Minor Revisions or Corrections

16. Recommendation 15(a) may be made subject to a requirement that the candidate correct minor textual errors or make minor revisions to the thesis before the deposit of a copy of the thesis in the University Library in accordance with the Rules for the Submission of Work for Higher Degrees.

17. Where minor textual corrections are required, candidates will be advised by the relevant graduate school office that the corrections must be made within one month of receiving formal notification of the corrections to be made. It shall be the responsibility of the internal examiner to certify that the necessary corrections have been made before a pass list can be issued.

18. Where minor revisions to the thesis are required, the candidate shall normally be required to make the revisions within six months of receiving formal notification of the revisions to be made.

19. In exceptional cases, an extension of time for making the corrections may be granted by the appropriate dean of postgraduate studies, subject to the candidate justifying such an extension, supported by the candidate’s academic supervisor.

20. It shall be the expectation that the thesis will not require referral back to the external examiner and that the candidate will not be expected to undergo a further oral examination. However, if the internal examiner feels that any recommendation other than recommendation 15(a) is appropriate following reconsideration of the thesis after the minor revisions have been made, the internal examiner shall refer the thesis to the external examiner. Where a thesis is thus referred to the external examiner, the examiners may determine that a further oral examination is required and may subsequently make any of the recommendations normally open following full revision and resubmission as set out in Convention 21 below.

Resubmission for Re-examination by Internal and External Examiners

21. Where a candidate has been permitted to revise and resubmit a thesis in accordance with Convention 15(b) the options open to the examiners when re-examining the thesis shall be those set out in Conventions 15(a) or (c) only, except that, in the case of convention 15(a) no further revisions to the thesis other than minor textual corrections may be recommended. Where the candidate’s oral performance on the first occasion of examination was satisfactory and the examiners are agreed, after considering the resubmitted thesis, that a further oral examination is not required, they may submit their recommendations without re-examining the candidate orally.

22. At resubmission, candidates must provide a commentary indicating the changes they have made to the thesis in response to the requirements of the Examiners.

Further Oral or Written Examination

23. In the case of a candidate subject to recommendation 15(bi) above, the options open to the examiners following the further oral or written examination shall be those set out in Conventions 15(a) or (c) only, except that, in the case
of convention 15(a), no further revisions to the thesis other than minor textual corrections may be recommended.

Provision to the Candidate of Information about Revisions Required

24. In all cases where a candidate is required to make corrections to a thesis or to revise a thesis, it shall be the responsibility of the examiners to provide full details of the corrections and/or revisions required of the thesis. The examiners shall provide to the candidate and the supervisory team, as soon as possible after the examination, a written statement of the nature of the changes they wish to see made to the thesis. The examiners should also attach a copy of this statement to their final report which shall be forwarded to the candidate and the supervisory team by the relevant graduate school office. When forwarding the final report to the candidate, the graduate school office will make it clear to the candidate that resubmission will not guarantee the award of a qualification.

F. Communication of the Result to the Candidate

25. The results of the examination or re-examination shall be communicated formally to the candidate by the relevant graduate school office. Neither an examiner nor any other person is empowered to communicate the result formally to a candidate before the official notification of the result to the candidate by a graduate school office on behalf of the Academic Registrar. In any case where an examiner chooses to give the candidate an informal indication as to the recommendation that will be put forward, the examiner concerned must stress that the recommendation is subject to ratification and that only the graduate schools (on behalf of the Academic Registrar) are empowered to issue official results.

G. Disagreement between the Examiners

26. If there is a disagreement between the examiners or doubt about their intentions, they shall be consulted with a view to resolving the matter. Where there is irreconcilable disagreement between the examiners an additional external examiner shall be appointed.

27. The additional external examiner shall be asked to read the candidate’s thesis and to conduct an oral examination. The additional examiner shall be told that the previous examiners had failed to reach agreement but will not have sight of their reports. On the occasion of this oral examination the candidate’s supervisory team (and where appropriate the internal examiner) shall be available to be consulted by the additional external examiner. The dean of postgraduate studies shall appoint a member of University staff as an independent observer, who will report on the conduct of the oral examination.

28. The academic supervisor shall co-ordinate the arrangements for the examination. After the conclusion of the examination, the additional examiner shall make a recommendation which shall be final. He/she shall submit a final report to the relevant graduate school office which will, subject to the approval of the relevant dean of postgraduate studies, be forwarded to the candidate and the supervisory team in the normal way.
29. In the event that the recommendation of admission to the degree subject to minor revisions within six months is made, the revisions shall be subject to the satisfaction of the additional external examiner. In the event that the recommendation that the candidate be permitted to revise and resubmit the thesis within 12 months is made, the resubmitted thesis shall be examined by the additional external examiner who shall decide whether to conduct a further oral examination.

30. A candidate who is subject to the procedure set out in Conventions 26 and 27 shall be informed that the examiners originally appointed have disagreed and that an additional examiner will be appointed. The candidate shall not be informed as to the nature of the disagreement between the original examiners and shall not be given a copy of their reports. If, however, the candidate subsequently appeals against the final decision in respect of the award of the degree, the report of the original examiners will form part of the formal record of appeal. The candidate shall be informed that an oral examination will be required. After the oral examination, and once a final decision as to the award of the degree has been made in accordance with Convention 28, the final report of the additional examiner shall be made available to the candidate and the supervisory team, provided that the additional examiner's recommendation has been approved.

H. Provision for an Oral Examination to be Conducted Outside the University

31. It is expected that all oral examinations will take place within the University unless specifically requested otherwise. With the approval of the dean of postgraduate studies, an oral examination for a candidate may be held elsewhere than at Newcastle. Both examiners should be present at any oral examination and only in very exceptional circumstances may the dean of postgraduate studies permit other arrangements to be made. A member of the supervisory team or internal adviser is not normally expected to be present unless at the specific request of the candidate to attend the venue for an examination held outside Newcastle, but is expected to be available to be contacted by the examiners if required, for example by telephone.
XII. Doctor of Philosophy Degree Progress Regulations

Postgraduate research candidates are responsible for making themselves familiar with the Guidelines for Research Students approved by Senate from time to time which are available to them each academic year and which are included in the Handbook for Research Students and Supervisors.

The basis for the award of the degree of Doctor of Philosophy 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 are required to show ability to conduct original investigations, to test ideas, whether their own or others', and to understand the relationship of their work and its themes to a wider field of knowledge. A doctoral thesis should be a body of work which a capable, well-qualified and diligent candidate, who is properly supported and supervised, can produce in three years of full-time study. It should exhibit substantial evidence of original scholarship and contain material worthy of publication.

2. Applicants, including members of staff, who are approved for admission as candidates for the degree of Doctor of Philosophy under these regulations, will be required to pay the fees for the degree as set out in the annual Fees Schedule.

3. Where the University has approved that research candidates may be registered and managed by a research institute, the director of the institute has the same authority and responsibility as a head of school. In these situations references to school and head of school include institute and director of institute.

B. Admission as a Candidate for the Degree of Doctor of Philosophy

4. An applicant may be approved for admission as a candidate for the degree of Doctor of Philosophy 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, where an applicant:

   (a) is a graduate of this or another approved University or other approved degree-awarding body or who holds other qualifications approved by the dean of postgraduate studies;

   (b) has completed an approved application including:

      (i) an indication of the intended field of advanced study and research;
(ii) evidence that the applicant’s English language proficiency meets the published requirements for the programme of research;

(iii) evidence of the applicant's suitability to become a candidate in terms of academic ability and prior training and experience.

(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 may require.

5. Where an applicant has previously studied for a Doctor of Philosophy at another institution and wishes this to be taken into account at Newcastle University, the application must be approved by the dean of postgraduate studies.

6. In considering an application for admission as a candidate for the degree of Doctor of Philosophy, 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. Admission as a Staff Candidate for the Degree of Doctor of Philosophy

7. In addition to the requirements set out in Regulation B, a member of staff seeking approval as a staff candidate for the degree of Doctor of Philosophy shall be required to complete and submit the approved staff candidature application form at the outset of studies in which is set out:

(a) an indication of the field of advanced study and research;

(b) details of the nature of the appointment held by the member of staff and its duration;

(c) approval from both the head of the school of employment and the head of school of study.

Note: For the purpose of agreeing staff candidature, the applicant must hold a substantive post, defined as being a contract of employment of at least 25% FTE over a full 12 months period, and covering the annual period of registration with the University. This does not include people who were initially Students and then employed part-time by the University, e.g. as demonstrators, General Duty Assistants, Laboratory Technicians, etc.

D. Conditional Candidature

8. An application for admission as a candidate for the degree of Doctor of Philosophy will normally be approved conditionally. Conditional approval shall be subject to the candidate being admitted initially as a candidate-elect. Doctoral candidature status will be confirmed when the relevant progress
panel recommend satisfactory progress and that decision is confirmed by the dean of postgraduate studies.

E. General Preconditions to the Award of the Degree of Doctor of Philosophy

9. Before being awarded the degree of Doctor of Philosophy, a candidate must:
   (a) satisfy the entrance requirements for the degree;
   (b) register for and make satisfactory progress throughout the relevant programme of study;
   (c) satisfy the examiners in the assessments specified.

F. Supervision of Students

10. A candidate for the degree of Doctor of Philosophy must engage in advanced study and research under the direction of a supervisory team in the University. The academic supervisor is appointed by the head of school, or nominee, before a candidate is accepted onto the programme of study.

11. To be eligible to supervise candidates for the degree of Doctor of Philosophy, 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 dean of postgraduate studies.

12. The head of school will appoint a member of the supervisory team to be the academic supervisor. The academic supervisor will be a member of staff of Newcastle University and will normally have had previous experience of at least one successful supervision. The academic supervisor will have primary responsibility for supporting the candidate throughout the period of study. Any reference to the supervisor in these regulations or in the Guidelines for Research Students or in other documents shall be deemed to be a reference to the supervisory team. However, practically, the academic supervisor will normally act on behalf of the supervisory team for matters other than progression.

13. In any case where candidates 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 18d). Such arrangements will supplement the role of the supervisor detailed in Regulation 11 above.

14. Where only one supervisor is available an additional adviser will be appointed by the head of school, with the approval of the dean of postgraduate studies.
G. Type of Candidature, Period of Study and Registration Requirements

15. An applicant may be approved by the postgraduate admissions selectors as a candidate for the degree of Doctor of Philosophy in any of the following categories:

(a) as a candidate whose minimum period of advanced study and research in the University shall normally be not less than three years of full-time study;

(b) as a candidate whose minimum period of advanced study and research shall be not less than four years, of which not less than one year shall be spent in full-time study in the University, in periods of at least three months duration;

(c) as a candidate whose minimum period of advanced study and research shall be not less than six years of part-time study.

Note: Staff candidates shall be deemed to be registered as part-time students during their period of candidature and therefore, this shall normally be six years in length as outlined in regulation 15(c). However, if the dean of postgraduate studies is satisfied that the greater part of the candidate's time is devoted to supervised research the candidature can be deemed to be 3 years of full-time study as outlined in regulation 15(a).

16. Any candidate who wishes to transfer from one of the categories of candidature specified in Regulation 15 to another such category may do so only with the approval of the appropriate dean of postgraduate studies and subject to the recommendation of the relevant supervisory team and head of school.

17. In all cases of candidature approved under Regulation 15, approved candidates shall be required to register continuously from commencement of their candidature until their thesis is submitted. During this time a candidate must abide by the requirements of the University's General Regulations. A candidate’s period of study shall be reckoned from the date of first registration as a candidate-elect for the degree of Doctor of Philosophy.

H. Study Undertaken Outside the University

18. Any candidate may be permitted by a dean of postgraduate studies, on the recommendation of the relevant supervisory team and head of school, to study outside the University, provided that in respect of any period of study not undertaken in the University the dean of postgraduate studies is satisfied before the beginning of that period of study that:

(a) the candidate will have access to adequate facilities and resources;

(b) sufficient time for study and research will be available to the candidate;

(c) appropriate arrangements have been made for the candidate’s supervision during the period of study outside the University,
including arrangements for the supervisory team to maintain contact with and to meet with the candidate as often as is necessary;

(d) appropriate arrangements have been made in any case where the candidate is attached to or working at an institution outside the University and is offered local supervision and support by staff at that institution.

Note: that any candidate 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.

J. Attendance and Progress

19. A candidate registered for the degree of Doctor of Philosophy shall comply with the University’s requirements for progression, as follows:

(a) Within 3 months of registering for the research programme, the candidate and the University shall have signed an approved learning agreement to cover the period of candidature;

(b) Candidates who are pursuing a course of study without a pre-approved project proposal should, within the guidelines identified by the graduate school up to a maximum of nine months, submit project proposals for approval by an independent school panel. Progression on the programme will be dependent upon acceptance of the project proposal. 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 candidate (see Regulation 22);

(c) Candidates should attend the University as frequently and at such intervals as the supervisory team shall require, bearing in mind whether the candidate 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 approved by Senate, 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;

(d) Candidates should maintain a record of their personal development throughout their period of registration and submit this as evidence of development on an annual basis;

(e) Candidates should submit reports and evidence of achievement as specified by the school or graduate school on an annual basis. Candidates 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 candidate.

20. The school will appoint a progress panel for each candidate. The progress of each candidate will be reviewed annually.

21. The supervisory team shall submit an annual report concerning the progress of the candidate’s research for review by the appointed progress panel.

22. The progress panel will make a report to the dean of postgraduate studies via the graduate school and further progress on the programme of study is subject to approval by the dean of postgraduate studies. In addition to detailed feedback that the progress panel may wish to provide to the candidate and the supervisory team, the progress panel will make one of the following recommendations to the graduate school:

(i) that the candidate’s performance is satisfactory and that the candidate can proceed to the next stage. If the candidate is a stage 1 student the candidature to study for the Doctor of Philosophy is confirmed;

(ii) that notwithstanding some concerns, which the candidate and supervisory team should note, the candidate’s overall performance is satisfactory and that the candidate can proceed to the next stage. If the candidate is a stage 1 student the candidature to study for the Doctor of Philosophy is confirmed;

(iii) that the candidate’s performance is unsatisfactory and that a further assessment should be held within two months to determine whether progress on the programme will be recommended;

(iv) that the candidate’s performance is unsatisfactory and that a submission for a Master of Philosophy examination is recommended instead of a submission for a Doctor of Philosophy examination;

(v) that the candidate’s performance is unsatisfactory and that no submission for a Master of Philosophy or Doctor of Philosophy examination is recommended, and that the candidature is terminated.

Note: That the progress panel should not normally recommend that a candidate’s registration is terminated (Convention 22(v)), without having previously provided a further assessment opportunity to the candidate (Convention 22(iii)).

23. In exceptional cases where the progress panel is not satisfied that the supervisory arrangements are adequate and appropriate, but considers that the candidate 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 for the replacement of all or part of the supervisory team.

24. 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 procedures are available at www.ncl.ac.uk/students/progress/staff-resources/procedures.htm.

**K Progress of Candidate-Elect and Confirmation of Registration for the Degree of Doctor of Philosophy**

25. In the case of candidates registered as candidate-elect for the degree of Doctor of Philosophy, their progress shall be reviewed (in accordance with Regulation 19) during their first year of study for those candidates studying full-time and in the second year in the case of those candidates studying part-time, with a view to determining whether or not a recommendation should be made to the appropriate dean of postgraduate studies that they should have their status confirmed as studying for the degree of Doctor of Philosophy (see also Regulation 8). The review of a candidate’s progress shall be carried out in accordance with the procedures agreed in each graduate school or academic school.

26. A candidate whose progress is not deemed sufficiently satisfactory to allow confirmation of registration for the degree of Doctor of Philosophy may nonetheless be deemed to have made satisfactory progress as a candidate for the degree of Master of Philosophy. In such a case the candidate shall be permitted to submit a thesis for the degree of Master of Philosophy. Exceptionally, the candidate may be permitted to continue as a candidate-elect for the degree of Doctor of Philosophy for a further period and be reconsidered for confirmation of their candidature for the degree of Doctor of Philosophy at a later date. Such cases should be reconsidered no later than two months after the initial decision in the case of full-time candidates and no later than four months after the initial decision in the case of part-time candidates.

27. A candidate registered as a candidate-elect for the degree of Doctor of Philosophy whose progress is deemed unsatisfactory at research Masters degree level shall not be permitted to continue as a registered student or candidate for either degree.

**L. Mid Year Procedure for Dealing with Unsatisfactory Progress**

28. A candidate whose progress is considered unsatisfactory by the supervisory team at times other than the normal occasions of 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 candidate’s attendance, progress and performance may be monitored; 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. The candidate 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 via the graduate school (in accordance with Regulation 22).

M. Procedure for Review of Penalties for Unsatisfactory Progress

29. A candidate applying for review of the decision of the progress panel may only do so in writing, using the University Academic Appeals Procedure, specifying one or more of the following grounds:

(a) the progress panel were not aware of circumstances affecting the candidate's performance. (That is: the candidate 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) inadequate assessment by the progress panel;

(d) bias or prejudice on the part of the progress panel.

N. Interruption of Study

30. The University normally expects candidates to complete their candidature in a single continuous period, i.e. continuously registered until the submission of the thesis. However sympathetic consideration will be given to requests for interruption arising due to unforeseen mitigating circumstances. Candidature should not normally be held in abeyance for more than 12 months. An Interruption to candidature may be granted by the appropriate dean of postgraduate studies, subject to the candidate providing strong justification for an interruption, supported by the supervisory team.

P. Teaching Duties

31. Students for the degree of Doctor of Philosophy 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 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 www.ncl.ac.uk/aqss/qsh/PG_Who_Teach_Policy.pdf

R. Submission for Examination by Thesis

32. The results of a candidate's advanced study and research must be embodied in a thesis in the approved form in accordance with the Rules for the Submission of Work for Higher Degrees and the Rules for the Form of Theses (see items XVII and XVIII). The length of a thesis shall be determined, bearing in mind the requirements laid down, or guidance issued, if any, by the candidate's graduate school. The thesis must be submitted, together with the
completed and signed submission form and other relevant material, to the graduate school office.

33. The exact title of a candidate’s thesis must be submitted on the appropriate form for approval by the dean of postgraduate studies not less than one month before the thesis is submitted.

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

   (a) within four years in the case of candidates proceeding under the provisions of Regulation 15(a);
   (b) within five years in the case of candidates proceeding under the provisions of Regulation 15(b);
   (c) within seven years in the case of candidates proceeding under the provisions of Regulation 15(c).

35. Except with the permission of the appropriate dean of postgraduate studies, a candidate may not submit a thesis earlier than the beginning of the last term of the prescribed period of study. Candidates who submit a thesis at the beginning of the last term of the prescribed period of study or, with appropriate permission, earlier, shall nevertheless still be required to pay tuition fees (full-time or part-time as appropriate, depending on the type of candidature) for the whole of the prescribed period of study.

S. Candidates Registered as ‘Writing Up’ before 1st August 2009

36. Candidates who have completed their research and who require the continued use of University library and computing facilities but who are completing the writing of their thesis and do not need normal supervision may be permitted on the recommendation of their supervisory team in consultation with the appropriate head of school to register as 'full-time (writing-up)' or 'part-time (writing-up)' candidates. The full-time (writing-up) mode of registration is open only to those who have completed the minimum period of registration specified in Regulation 15(a) above.

Notes
(i) Candidates who have completed the minimum period of registration specified in Regulation 15(b) or 15(c) will not be permitted to register under the full-time (writing-up) mode of registration.

(ii) Since candidates at the writing-up stage will have completed all experimental work and data collection, those who are registered under either of the writing-up categories 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).

(iii) It is expected that candidates who are registered as writing-up will no longer require regular structured interactions with members of the supervisory team and that supervision will be significantly reduced.
37. Exceptionally, a candidate who is neither required to register nor chooses to register after the completion of the minimum required period of registration specified in Regulation 15 is deemed to be on a leave of absence from the University. The reason for the absence shall be noted as writing-up, but it is understood that such a candidate will not normally be granted access to University facilities or supervisory support.

T. Pending Submission for Candidates completing their minimum period of Candidature after 31 July 2009

38. All Candidates, staff or students, who have completed their minimum candidature and have not submitted their thesis may be permitted on the recommendation of their progress panel to register as ‘pending submission’ candidates for one further year. ‘Pending submission’ candidates are required to register with the University and pay the appropriate tuition fee.

Notes
(i) Candidates who have completed their minimum candidature and still require more time to work on their research and submit their thesis must register with the University

(ii) The fact that a candidate has completed their minimum candidature does not of itself constitute grounds for transferring to ‘pending submission’ registration with a reduced fee. Candidates who require normal facilities and supervision will pay the full fee for their candidature. Candidates registering under the ‘pending submission’ category with a reduced fee 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).

(iii) It is expected that candidates who are registered as ‘pending submission’ with a reduced fee will no longer require regular structured interactions with members of the supervisory team and that supervision will be significantly reduced, to approximately half of the fully registered provision. However, full access to Library and computing facilities will be available.

U. Extensions of Time for Submission

39. Candidates must submit within their maximum candidature, however, in exceptional cases, an extension of time for submission may be granted by the appropriate dean of postgraduate studies, subject to the candidate providing a strong justification for an extension, supported by the supervisory team. Candidates granted extensions of time in accordance with this provision will be required to register as ‘extended submission’ candidates and pay tuition fees as stipulated in the University’s fee schedule.

V. Examination

40. Details of the required arrangements for the examination are provided in the Doctor of Philosophy Examination Conventions, XIII or XIV.
W. Language of Submission

41. A candidate’s thesis must be written in English. In exceptional cases, subject to the candidate justifying such a concession, the appropriate dean of postgraduate studies may allow the candidate to submit a thesis written in a modern language other than English. Such a concession shall be granted only where a candidate 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 viva voce examination must be conducted in English.

Note:
The University cannot undertake to arrange the examination of a thesis immediately after its submission. Candidates are warned that several weeks may elapse between the submission of a thesis and the completion of the examination, and should consult with their academic supervisor well in advance. The normal period between submission of a thesis and an examination is ten weeks, although circumstances may necessitate a longer time frame.
XIII. Doctor of Philosophy by Thesis
Examination Conventions

A. Scope
1. These Examination Conventions apply to all candidates at Newcastle University who, having met the requirements of the University’s General Regulations and the Doctor of Philosophy Degree Progress Regulations, are eligible to submit a thesis for examination for the degree of Doctor of Philosophy. Supplementary examination conventions which apply for the degree of Doctor of Philosophy by Published Work can be found at XIV.

B. Appointment of Examiners
2. A candidate’s thesis shall be examined by examiners appointed by the dean of postgraduate studies on behalf of Senate. The examination shall consist of a review and assessment of the candidate’s thesis (and where appropriate, other artefacts) by the examiners appointed and of an oral examination on the content of the thesis and subjects related thereto. A candidate may also be encouraged to give a presentation of the work embodied in the thesis in the form of a public lecture or seminar.
3. For student candidates there shall ordinarily be one external examiner and one internal examiner appointed for each candidate. For all staff candidates the examination shall be conducted by two external examiners appointed for each candidate.
4. All examiners will be nominated by the relevant head of school in consultation with the candidate’s academic supervisor. Such nominations shall be submitted on the approved form at the same time as the candidate submits an application for approval of thesis title.
5. Where the University is unable to appoint, or chooses not to appoint, an internal examiner for a student candidate a second external examiner will be appointed. In all cases where two external examiners are appointed, the dean of postgraduate studies will also appoint an independent member of University staff who will chair the viva.
6. The supervisory team will provide candidates with the opportunity to comment on the nominated examiners. If the candidate believes that there is a concern about the nominated examiners this should be drawn to the attention of the supervisory team and the head of school in writing, as soon as possible. Examiner appointments will, however, be reviewed only if it is clear that there may be bias or prejudice by an examiner.
7. A former member of staff of the University shall not normally be appointed as an external examiner until at least five years have elapsed since that person left the employment of the University. A retired member of staff of the University shall not normally be appointed as an external examiner. A retired member of staff of another institution may be appointed as an external
examiner only if he or she is still active in the field of research and study concerned.

C. Examiners' Preliminary Reports

8. The examiners should independently write a preliminary report indicating their provisional assessment of the thesis and of the issues to be explored in the oral examination. It is expected that, if the criteria for the award of the degree have clearly been met, the preliminary reports will be very brief (a single paragraph). If, on the other hand, the examiners have serious concerns about whether the criteria have been met, fuller reports will be expected. Each examiner's preliminary report should be sent to the relevant graduate school office in advance of the oral examination taking place. The reports will be forwarded to the relevant dean of postgraduate studies. They must not be shown to the candidate or the supervisory team in advance of the oral examination, but examiners should be aware that preliminary reports will be made available to candidates after the oral examination if they request them under the provisions of the Data Protection Act.

9. Exceptionally, and two weeks or more in advance of a scheduled viva, if the external examiner upon initial independent review of the thesis is unequivocally of the view that the thesis is not worthy of defence without significant re-work by the candidate, s/he shall contact the graduate school. The dean of postgraduate studies shall then determine whether it is appropriate for extraordinary arrangements to be put in place for the examiners to confer before the scheduled meeting. If approved by the dean, the examiners will be permitted to prepare a joint report. The decision reached under these arrangements shall be limited to Convention 22(b) only – i.e. permitting resubmission, and the terms of Convention 27 must apply. An oral examination will be required after resubmission.

D. Nature of the Examination

10. The examination shall consist of a review and assessment of the candidate’s thesis by the examiners appointed and of an oral examination on the content of the thesis and subjects related thereto, chaired by the external examiner. The viva shall be conducted in accordance with the guidelines in the University's Handbook for Examiners of Research Degrees.

11. The purpose of the viva is to enable the examiners to:
   (a) establish that the research has been undertaken by the candidate;
   (b) test the ability of the candidate to defend his or her thesis;
   (c) establish whether the candidate has a satisfactory knowledge of the wider field surrounding the research topic.

12. In exceptional circumstances the dean of postgraduate studies may, subject to the agreement of the examiners, exempt a candidate from the oral examination, subject to alternate arrangements being in place to assess the above aspects.
13. In examining a candidate’s thesis, the examiners should take into consideration both the extent and merit of the work submitted and the quality of the exposition. With regard to the extent of the work, the examiners should satisfy themselves that the candidate’s work shows evidence of adequate industry and application. With regard to the merit of the work, the candidate is expected to show distinct ability in conducting original investigations and in testing ideas, whether the candidate’s own or others’. The exposition of the work in the thesis must be clear and must show that the candidate understands the relationship of the work embodied in the thesis and the theme of that work to a wider field of knowledge.

14. The results of the research and study must be satisfactorily presented in the thesis which should include matter worthy of publication. The thesis itself need not however be submitted in a form suitable for publication.

15. In the case of any work done jointly, or in wider collaborations, or under direction, it is important that the extent of the candidate’s own contribution is made clear both in any introductory element of the thesis and at relevant points within the thesis.

E. Public Presentation

16. In association with the examining process, a candidate may be encouraged to give a presentation of the work embodied in the thesis in the form of a public lecture or seminar. Such a presentation shall not, however, form part of the formal examination and shall not contribute to the examiners’ decision on the candidate’s performance.

F. Role of the Supervisory Team during the Examination

17. A member of the supervisory team will not be appointed as an internal examiner.

18. The academic supervisor may, at the request of the candidate, be present at (but will make no contribution to) the oral examination. S/he should in all cases be available to be consulted by the examiners on the occasion of the oral examination. The supervisor will have the right to confer with the examiners following the examination, and to be given an oral report on its outcome.

19. The academic supervisor will co-ordinate the arrangements for the oral examination and inform the graduate school of the details.

G. Examiners' Final Reports

20. Having considered all the evidence presented to them, the examiners shall submit, on the approved form, a joint report on the examination. The report shall include a written statement concerning the candidate’s performance and the manner in which the work submitted has contributed to the advancement of knowledge and understanding, together with a recommendation as to the outcome of the examination. The report should also address directly any concerns raised in the preliminary reports and make clear
the areas required for amendment if they require revisions or resubmission (See Conventions 22 and 33).

21. The joint report must be sent to the relevant graduate school office. The report will be forwarded to the dean of postgraduate studies who shall consider it and decide whether due process has been followed. Exceptionally, the dean of postgraduate studies may require further information from the examiners to justify their decision. After consideration of the report by the dean of postgraduate studies, copies of the final report will be sent to the candidate and the supervisory team by the relevant graduate school office (unless there is disagreement between the examiners, see Conventions 35-37 below). A copy shall also be sent to the head of school, unless otherwise directed by the dean of postgraduate studies.

H. Recommendations Open to the Examiners

22. Following the first submission and examination of a candidate, the examiners may make the following recommendations:

(a) (i) that the candidate be admitted immediately to the degree of Doctor of Philosophy; or

(ii) that the candidate be admitted to the degree of Doctor of Philosophy subject to minor corrections of the text made to the satisfaction of the internal examiner, normally within a period of one month of receiving formal notification of the corrections to be made; or

(iii) that the candidate be admitted to the degree of Doctor of Philosophy subject to minor revisions being made to the satisfaction of the internal examiner, normally within a period of six months of receiving formal notification of the revisions to be made.

(b) (i) that the candidate’s thesis be deemed to be of a satisfactory standard, but that the candidate be adjudged to have failed to satisfy the examiners in the oral examination and that the candidate therefore be required to submit within six months either for a second oral examination or for a written examination, as the examiners shall determine in their written report.

(ii) that the candidate be adjudged to have failed to satisfy the examiners and the candidate be permitted to revise and re-submit the thesis within twelve months without a further oral examination. or

(iii) that the candidate be adjudged to have failed to satisfy the examiners and the candidate be permitted to revise and re-submit the thesis within twelve months and be examined orally; or

(c) (i) that the candidate has reached the standard required for the appropriate Masters Degree and should immediately be awarded that degree instead; or
(ii) that the candidate has reached the standard required for the appropriate Masters Degree and should be awarded that degree instead subject to minor corrections of the text made to the satisfaction of the internal examiner, normally within a period of one month of receiving formal notification of the corrections to be made; or

(iii) that the candidate has reached the standard required for the appropriate Masters Degree and should be awarded that degree instead subject to minor revisions being made to the satisfaction of the internal examiner, normally within a period of six months of receiving formal notification of the revisions to be made.

(d) that the candidate be permitted to revise and re-submit the thesis for the appropriate Masters Degree within twelve months and be re-examined orally if the examiners so require by indication in their written report.

(e) that no degree be awarded and that the candidate be adjudged to have failed.

Minor Revisions or Corrections

23. Recommendations 22(a) or (c) may be made subject to a requirement that the candidate correct minor textual errors or make minor revisions to the thesis before the deposit of a copy of the thesis in the University Library in accordance with the Rules for the Submission of Work for Higher Degrees.

24. Where minor textual corrections are required, candidates will be advised by the relevant graduate school office that the corrections must be made within one month of receiving formal notification of the corrections. It shall be the responsibility of the internal examiner to certify that the necessary corrections have been made before a pass list can be issued.

25. Where minor revisions to the thesis are required, the candidate shall normally be required to make the revisions within six months of receiving formal notification of the revisions to be made.

26. It shall be the expectation that the thesis will not require referral back to the external examiner and that the candidate will not be expected to undergo a further oral examination. However, if the internal examiner feels that any recommendation other than recommendations 22(a)(i), (a)(ii), (c)(i) or (c)(ii) is appropriate following reconsideration of the thesis after the minor revisions have been made, the thesis shall also be referred to the external examiner. Where a thesis is thus referred to the external examiner, the examiners may determine that a further oral examination is required and may subsequently make any of the recommendations normally open following full revision and resubmission as set out in Convention 31.

Resubmission for Re-examination by Internal and External Examiners

27. In the case of a candidate subject to recommendations 22(b) or (d) above, the revisions expected of the candidate shall be more substantial than in the case of a recommendation 22(a) or (c). However, these
recommendations shall be made only where the examiners are of the view that the thesis is basically acceptable for the degree concerned and/or that it is reasonable to expect the candidate to be able to attempt to revise and resubmit the thesis successfully in the normal time available and without conducting significant further basic research.

28. At resubmission, candidates must provide a commentary indicating the changes they have made to the thesis in response to the requirements of the Examiners.

29. If the extraordinary arrangements under Convention 9 have been applied, the examiners will be required to conduct an oral examination upon resubmission.

30. In exceptional cases, an extension of time for making the corrections may be granted by the appropriate dean of postgraduate studies, subject to the candidate justifying such an extension, supported by the academic supervisor.

Recommendations after Resubmission for Re-examination by Internal and External Examiners

31. Where a candidate has been permitted to revise and resubmit a thesis in accordance with Conventions 22(b) or (d), the only options open to the examiners when re-examining the thesis shall be one of the following;

(a) (i) that the candidate be admitted immediately to the degree of Doctor of Philosophy; or

(ii) that the candidate be admitted to the degree of Doctor of Philosophy subject to minor corrections of the text made to the satisfaction of the internal examiner, normally within a period of one month of receiving formal notification of the corrections to be made; or

(b) (i) that the candidate has reached the standard required for the appropriate Masters Degree and should immediately be awarded that degree instead; or

(ii) that the candidate has reached the standard required for the appropriate Masters Degree and should be awarded that degree instead subject to minor corrections of the text made to the satisfaction of the internal examiner, normally within a period of one month of receiving formal notification of the corrections to be made; or

(c) that no degree be awarded and that the candidate be adjudged to have failed.

Where the candidate’s oral performance on the first occasion of examination was satisfactory and the examiners are agreed, after considering the resubmitted thesis, that a further oral examination is not required, they may submit their recommendations without re-examining the candidate orally.
Recommendations Following a Further Oral or Written Examination

32. In the case of a candidate subject to recommendation 22(b(i)) above, the only options open to the examiners when re-examining the thesis shall be one of the following:

(a) (i) that the candidate be admitted immediately to the degree of Doctor of Philosophy; or

(ii) that the candidate be admitted to the degree of Doctor of Philosophy subject to minor corrections of the text made to the satisfaction of the internal examiner, normally within a period of one month of receiving formal notification of the corrections to be made; or

(b) (i) that the candidate has reached the standard required for the appropriate Masters Degree and should immediately be awarded that degree instead; or

(ii) that the candidate has reached the standard required for the appropriate Masters Degree and should be awarded that degree instead subject to minor corrections of the text made to the satisfaction of the internal examiner, normally within a period of one month of receiving formal notification of the corrections to be made; or

(c) that no degree be awarded and that the candidate be adjudged to have failed.

Note: no further revisions to the thesis other than minor textual corrections may be recommended.

Provision to the Candidate of Information about Revisions Required

33. In all cases where a candidate is required to make corrections to a thesis or to revise a thesis, it shall be the responsibility of the examiners to provide full details of the corrections and/or revisions required of the thesis. The examiners shall provide to the candidate and the supervisory team as soon as possible after the oral examination a written statement of the nature of the changes they wish to see made to the thesis. The examiners should also attach a copy of this statement to their final report which shall be forwarded to the candidate and the supervisory team by the relevant graduate school office. When forwarding the final report to the candidate, the graduate school office will make it clear to the candidate that resubmission will not guarantee the award of a qualification.

J. Communication of the Result to the Candidate

34. The results of the examination or re-examination shall be communicated formally to the candidate by the relevant graduate school office. Neither an examiner nor any other person is empowered to communicate the result formally to a candidate before the official notification of the result to the candidate by a graduate school office on behalf of the Academic Registrar. In any case where an examiner chooses to give the candidate an informal indication as to the recommendation that will be put forward, the examiner concerned must stress that the recommendation is subject to ratification and
that only the graduate schools (on behalf of the Academic Registrar) are empowered to issue official results.

K. Disagreement between the Examiners

35. If there is a disagreement between the examiners or doubt about their intentions, they shall be consulted with a view to resolving the matter. Where there is irreconcilable disagreement between the examiners an additional external examiner shall be appointed.

36. The additional external examiner shall be asked to read the candidate’s thesis and to conduct an oral examination. The additional examiner shall be told that the previous examiners had failed to reach agreement but will not have sight of their reports. On the occasion of the second oral examination the supervisory team (and where appropriate the internal examiner) shall be available to be consulted by the additional external examiner. The dean of postgraduate studies shall appoint a member of University staff as an independent observer, who will report on the conduct of the viva. The academic supervisor shall co-ordinate the arrangements for the oral examination. After the conclusion of the oral examination, the additional examiner shall make a recommendation which shall be final. He/she shall submit a final report to the relevant graduate school office which will, subject to the approval of the relevant dean of postgraduate studies, be forwarded to the candidate and the supervisory team in the normal way. In the event that changes to the thesis are required it will be the additional external examiner shall examine the thesis.

37. Where a disagreement between examiners is identified at the examination of a resubmission, the additional external examiner shall be asked to read the candidate’s thesis and to consider the work submitted against the examiners joint report from the first submission. If an oral examination is required for the resubmission the dean of postgraduate studies shall appoint a member of University staff as an independent observer, who will report on the conduct of the viva. After the conclusion of the oral examination, the additional examiner shall make a recommendation which shall be final. He/she shall submit a final report to the relevant graduate school office which will, subject to the approval of the relevant dean of postgraduate studies, be forwarded to the candidate and the supervisory team in the normal way. In the event that minor textual corrections are required, they will need to be made to the satisfaction of the additional external examiner.

38. A candidate who is subject to the procedure set out in Conventions 35 to 37 shall be informed that the examiners originally appointed have disagreed and that an additional examiner will be appointed. The candidate shall not be informed as to the nature of the disagreement between the original examiners and shall not be given a copy of their reports. If, however, the candidate subsequently appeals against the final decision in respect of the award of the degree, the report of the original examiners will form part of the formal record of appeal. The candidate shall be informed that a second oral examination will
be required. After the second oral examination, and once a final decision as to the award of the degree has been made in accordance with Conventions 19 and 31, the final report of the additional examiner shall be made available to the candidate and the supervisory team.

L. Provision for an Oral Examination to be Conducted Outside the University

39. It is expected that all oral examinations will take place within the University unless specifically requested otherwise. With the approval of the dean of postgraduate studies, the oral examination for a candidate may be held elsewhere than at Newcastle. Both examiners should be present at any oral examination and only in very exceptional circumstances may the dean of postgraduate studies permit other arrangements to be made. A member of the supervisory team or internal adviser is not normally expected to be present unless at the specific request of the candidate to attend the venue for an examination held outside Newcastle, but is expected to be available to be contacted by the examiners if required, for example by telephone.
XIV. Doctor of Philosophy by Published Work
Examination Conventions

A. Introduction
1. These conventions are for members of staff who choose to submit for examination for the degree of Doctor of Philosophy by Published Work. Members of staff who wish to submit for examination for the degree of Doctor of Philosophy by Thesis shall follow the conventions set out in section XIII, the same as those for student candidates.

Note: The regulations below are supplementary to the progress regulations and examination conventions for candidates for the degree of Doctor of Philosophy by Thesis.

B. Basis for the Award of the Degree of Doctor of Philosophy by Published Work
2. The basis for the award of the degree of Doctor of Philosophy to staff candidates shall be the same as the basis for the award of the degree to student candidates.

3. Additionally, a member of staff who wishes to be a staff candidate for the degree of Doctor of Philosophy on the basis of the submission of published work must have held an appointment in the University for a continuous period of at least three years at the time of submission and the study and research carried out during the candidate’s period of appointment must have formed a significant contribution to the published work.

C. Submission for the Degree of Doctor of Philosophy on the Basis of Published Work
4. A staff candidate for the degree of Doctor of Philosophy on the basis of published work shall be required to submit published work in the approved form in accordance with the Rules for the Submission of Work for Higher Degrees and the guidelines detailed in section K. The published work submitted should overall be seen to be broadly comparable to a PhD thesis in the same discipline, so that it is evidently the result of a sustained level of recent research activity normally in a single field of study to which it makes an original contribution.

5. The submission shall consist of a collection of published material including papers, chapters, monographs or books. The publication of papers shall normally have taken place in refereed journals, or other journals held in high standing by academics working in the relevant field. Books, monographs, and chapters in books shall normally have been published by established publishing houses or other recognised publishing media. The publications submitted shall normally relate to work undertaken during a minimum period of three years and a maximum period of six years.
6. Work shall only be regarded as published if at the time of submission copies of the work are generally obtainable through normal sources, such as publishing houses, bookshops and academic libraries. Proofs of papers not yet published but accepted for publication are acceptable. However, reports or other documents prepared for organizations such as private companies, government departments or charities or for internal University purposes are not acceptable unless they have been published widely outside the organization for which they were prepared.

7. In addition to submitting the published works, which shall be bound in the approved form in accordance with the Rules for the Submission of Work for Higher Degrees and the Rules for the Form of Theses (see items XVII and XVIII), the candidate shall submit:

   (a) a list of the published works submitted;

   (b) an accompanying Doctoral Statement concerning the work submitted and setting out the proposed basis for the award of the degree and placing the work in its wider context;

   (c) the relevant submission form or forms.

8. The number and scope of the works required for a submission, and the nature and length of the accompanying Doctoral Statement must be specified in guidelines concerning the submission of published work for the degree of Doctor of Philosophy to be drawn up in each faculty and subject to approval by the University Teaching and Learning Committee.

9. In the case of joint publications included in a candidate's submission, the candidate shall submit an approved form for each such work submitted indicating the percentage share of the work attributable to the candidate. The candidate will be required to obtain, before submission of each form, signatures from each co-author and collaborator certifying the candidate's share of the work concerned.

D. Establishment of a Prima Facie Case for the Award of the Degree of Doctor of Philosophy on the Basis of Published Work

10. In the case of staff candidates for the degree on the basis of the submission of published work, the dean of postgraduate studies shall appoint, on the recommendation of the relevant head of school, an internal assessor to consider whether a prima facie case for the award of the degree can be established (see Regulations 12 to 14).

11. A candidate's submission shall be initially referred to the internal assessor. The internal assessor shall consider whether a prima facie case for the award of the degree has been established, bearing in mind the criteria normally applicable to examinations for the degree of Doctor of Philosophy, whether by thesis or on the basis of published work.

   Note: the establishment of a prima facie case for the award of the degree does not constitute a formal examination of the submission and does not
imply that after consideration of the submission and an oral examination the examiners will recommend the award of the degree.

12. Where the internal assessor is satisfied that a *prima facie* case has been established, a recommendation shall be made by the assessor on the appropriate form, supported by the relevant head of school, to the dean of postgraduate studies that examiners be appointed.

13. Where the internal assessor is not satisfied that a *prima facie* case has been established, a recommendation shall be made by the assessor on the appropriate form, supported by the relevant head of school, to the dean of postgraduate studies that the candidate be informed that the submission has not been found satisfactory. In such a case the examination shall not proceed. The internal assessor shall provide a report indicating the areas in which the submission has been found to be unsatisfactory and the information contained in this report shall be communicated to the candidate by the relevant head of school.

E. Examination for the Degree of Doctor of Philosophy on the Basis of Published Work

14. Where a *prima facie* case for the award of the degree has been established, the candidate's submission shall be examined by two external examiners. The examiners will be nominated by the relevant head of school in consultation with the candidate's internal assessor. The examiners will then be appointed by the dean of postgraduate studies acting on behalf of Senate. In addition, the dean of postgraduate studies will also appoint an independent member of University staff who will chair the oral examination.

15. The examination shall consist of a review and assessment of the candidate's submission by the examiners appointed and of an oral examination on the content of the work and subjects related thereto. The viva shall be conducted in accordance with the guidelines in the University's *Handbook for Examiners of Research Degrees*.

16. The examiners should independently write a preliminary report indicating their provisional assessment of the submission and of the issues to be explored in the oral examination. It is expected that, if the criteria for the award of the degree have clearly been met, the preliminary reports will be very brief (a single paragraph). If, on the other hand, the examiners have serious concerns about whether the criteria have been met, fuller reports will be expected. Each examiner's preliminary report should be sent to the relevant graduate school office in advance of the oral examination taking place. The reports will be forwarded to the relevant dean of postgraduate studies. They must not be shown to the candidate or the supervisory team in advance of the oral examination, but examiners should be aware that preliminary reports will be made available to candidates after the oral examination if they request them under the provisions of the Data Protection Act.

17. Exceptionally, and two weeks or more in advance of a scheduled viva, if the external examiner upon initial independent review of the submitted work is
unequivocally of the view that work is not worthy of defence without significant re-work by the candidate, s/he shall contact the graduate school. The dean of postgraduate studies shall then determine whether it is appropriate for extraordinary arrangements to be put in place for the examiners to confer before the scheduled meeting. If approved by the dean, the examiners will be permitted to prepare a joint report. The decision reached under these arrangements shall be limited to Convention 28(b) only – i.e. permitting resubmission within 12 months. An oral examination will be required after resubmission.

18. The purpose of the viva is to enable the examiners to:

(a) establish that the research has been undertaken by the candidate;
(b) test the ability of the candidate to defend his or her work;
(c) establish whether the candidate has a satisfactory knowledge of the wider field surrounding the research topic.

19. In exceptional circumstances the dean of postgraduate studies may, subject to the agreement of the examiners, exempt a candidate from the oral examination, subject to alternate arrangements being in place to assess the above aspects.

20. In examining a candidate’s submission, the examiners should take into consideration both the extent, merit and quality of the work submitted. With regard to the extent of the work, the examiners should satisfy themselves that the candidate’s work shows evidence of adequate industry and application. With regard to the merit of the work, the candidate is expected to show distinct ability in conducting original investigations and in testing ideas, whether the candidate’s own or others’.

21. In the case of any work done jointly, or in wider collaborations, or under direction, it is important that the extent of the candidate’s own contribution is made clear.

F. Public Presentation

22. In association with the examining process, a candidate may be encouraged to give a presentation of the work embodied in the submission in the form of a public lecture or seminar. Such a presentation shall not, however, form part of the formal examination and shall not contribute to the examiners’ decision on the candidate’s performance.

G. Role of Internal Staff during the Examination

23. The internal assessor shall not be present during the oral examination.

24. The academic supervisor may, at the request of the candidate, be present at (but will make no contribution to) the oral examination. S/he should in all cases be available to be consulted by the examiners on the occasion of the oral examination. The supervisor will have the right to confer with the examiners following the examination, and to be given an oral report on its outcome.
25. The academic supervisor will co-ordinate the arrangements for the oral examination and inform the graduate school of the details.

H. Examiners' Final Reports

26. Having considered all the evidence presented to them, the examiners shall submit, on the approved form, a joint report on the examination. The report shall include a written statement concerning the candidate’s performance and the manner in which the work submitted has contributed to the advancement of knowledge and understanding, together with a recommendation as to the outcome of the examination. The report should also address directly any concerns raised in the preliminary reports and make clear the areas required for amendment if they require revisions or resubmission.

27. The joint report must be sent to the relevant graduate school office. The report will be forwarded to the dean of postgraduate studies who shall consider it and decide whether due process has been followed. Exceptionally, the dean of postgraduate studies may require further information from the examiners to justify their decision. After consideration of the report by the dean of postgraduate studies, copies of the final report will be sent to the candidate and the supervisory team by the relevant graduate school office (unless there is disagreement between the examiners, see examination conventions for candidates for the degree of Doctor of Philosophy by Thesis. A copy shall also be sent to the head of school, unless otherwise directed by the dean of postgraduate studies.

J. Recommendations Open to the Examiners

28. Following the first submission and examination of a candidate, the examiners may make the following recommendations:

(a) (i) that the candidate be admitted immediately to the degree of Doctor of Philosophy; or

(ii) that the candidate be admitted to the degree of Doctor of Philosophy subject to minor corrections to the doctoral statement made to the satisfaction of a nominated examiner, normally within a period of one month of receiving formal notification of the corrections to be made; or

(iii) that the candidate be admitted to the degree of Doctor of Philosophy subject to minor revisions being made to the satisfaction of a nominated examiner, normally within a period of six months of receiving formal notification of the revisions to be made.

(b) (i) that the candidate’s submission be deemed to be of a satisfactory standard, but that the candidate be adjudged to have failed to satisfy the examiners in the oral examination and that the candidate therefore be required to submit within six months either for a second oral examination or for a written examination, as the examiners shall determine in their written report.
(ii) that the candidate be adjudged to have failed to satisfy the examiners and the candidate be permitted to revise and re-submit their submission in line with the joint report recommendations within twelve months without a further oral examination. or

(iii) that the candidate be adjudged to have failed to satisfy the examiners and the candidate be permitted to revise and re-submit their submission in line with the joint report recommendations within twelve months and be examined orally; or

(c) (i) that the candidate has reached the standard required for the appropriate Masters Degree and should immediately be awarded that degree instead; or

(ii) that the candidate has reached the standard required for the appropriate Masters Degree and should be awarded that degree instead subject to minor corrections of the doctoral statement made to the satisfaction of the nominated examiner, normally within a period of one month of receiving formal notification of the corrections to be made; or

(iii) that the candidate has reached the standard required for the appropriate Masters Degree and should be awarded that degree instead subject to minor revisions being made to the satisfaction of the nominated examiner, normally within a period of six months of receiving formal notification of the revisions to be made.

(d) that the candidate be permitted to revise and re-submit their submission for the appropriate Masters Degree within twelve months and be re-examined orally if the examiners so require by indication in their written report.

(e) that no degree be awarded and that the candidate be adjudged to have failed.

29. In the case of a candidate subject to recommendations 28(c) above, the revisions and additions expected of the candidate shall be more substantial than in the case of a recommendation under regulation 28(b). However, this recommendation shall nonetheless only be made where the examiners are of the view that the submission is basically acceptable for the degree and/or that it is reasonable to expect the candidate to be able to attempt to revise and add to the submission successfully in the normal time available.

30. In all cases where a candidate is required to make corrections or revisions to a submission or to submit additional published material, it shall be the responsibility of the examiners to provide details of the corrections, revisions or nature and extent of additional material required. The appointed independent chair will agree with the examiners who will be responsible for examining any required revisions or resubmission. Any recommendations for revision or amendment will follow the procedure as detailed in the Doctor of Philosophy by Thesis Examination Convention XIII.

31. Where a candidate has been permitted to revise and resubmit in accordance with regulation 28 the options open to the examiners when re-
examining the submission shall be those set out in the *Examination Conventions for the Doctor of Philosophy by Thesis*.

**K. Guidelines concerning the Submission of Published Work for the Degree of Doctor of Philosophy**

32. *Humanities and Social Sciences*

(a) Publications selected for submission by a candidate should demonstrate progressive development or coherence in research activity.

(b) The amount of research activity should be equivalent to that expected from a three year full-time PhD.

(c) Candidates would normally be expected to submit at least five articles in refereed journals or the equivalent in books, monographs, works of art, performances and chapters in books or any combination of these types of publication. Papers must have been published either in established, refereed journals, in chapters in edited books or, when appropriate, may be in a professional journal held in high standing by academics and senior practitioners working in the field. The significance of artworks and performances must be demonstrated by the standing of the exhibition venue, the nature of commissioning process or the level of critical appraisal of the work.

(d) Candidates should not include multiple versions of the same paper in their submission.

(e) All items must have been produced within a minimum of three years and a maximum of six years.

(f) Where the publications submitted have been jointly authored, a form will be submitted detailing the contribution of the candidate to each. The number of publications should be increased pro-rata if jointly authored publications are submitted.

(g) The Doctoral Statement should normally be of about 5000 words in length but can be longer (up to a maximum of 10,000 words) where the publications submitted do not address all key aspects of the research conducted.

(h) The Doctoral Statement should set out the proposed basis for the award of the degree, placing the work in its wider context, particularly drawing out linkages between the different pieces of work. It should demonstrate the required development or coherence in the work across the period covered by the publications and should incorporate a critical appraisal and discussion of the corpus.
33. **Medical Sciences**
   (a) The submission should normally be based on at least four original articles in peer reviewed journals and must be based on work in which the candidate has had a major contribution.
   (b) The submission should include an introductory section which reviews the relevant literature in the candidate's field of research and which puts his/her original observations into a broader scientific context. This should normally be at least 10,000 words in length.

34. **Science, Agriculture and Engineering**
   (a) The submission should normally comprise of at least four original articles in peer reviewed journals and should represent a significant contribution to knowledge in the candidate's field.
   (b) Where the publications submitted have been jointly authored, additional information must be submitted detailing the contribution of the candidate to each. The number of publications should be increased pro-rata if jointly authored publications are submitted.
   (c) The accompanying Doctoral Statement should normally be a minimum of 10,000 words. It should summarise the relevant literature, set the work carried out in its wider context, include a critical appraisal of what has been achieved and provide ideas for future work.
XV. Doctor of Philosophy (Integrated) Regulations

Postgraduate research students are responsible for making themselves familiar with the Guidelines for Research Students approved by Senate from time to time which are available to them each academic year.

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 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;
   (d) a detailed understanding of applicable techniques for research and advanced academic enquiry;
   (e) 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. A doctoral thesis should exhibit substantial evidence of original scholarship and contain material worthy of publication.

3. Applicants, including members of staff, who are approved for admission as candidates 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.

B. Admission as a Candidate for the Degree of Doctor of Philosophy (Integrated)

4. An applicant may be approved for admission as a candidate 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, 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;

(b) has completed an approved application, including:
   (i) an indication of the intended field of advanced study and research;
   (ii) evidence that the applicant’s English language proficiency meets the published requirements for the programme of research;
   (iii) evidence of the applicant's suitability to become a candidate in terms of ability and prior training and experience.

(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 may require.

5. In considering an application for admission as a candidate 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. Admission as a Staff Candidate for the Degree of Doctor of Philosophy

6. In addition to the requirements set out in Regulation B, a member of staff seeking approval as a staff candidate for the degree of Doctor of Philosophy (Integrated) shall be required to complete and submit the approved staff candidature application form at the outset of studies in which is set out:

(a) an indication of the field of advanced study and research;

(b) details of the nature of the appointment held by the member of staff and its duration;

(c) approval from both the head of the school of employment and the head of school of study.

Note: For the purpose of agreeing staff candidature, the applicant must hold a substantive post, defined as being a contract of employment of at least 25% FTE over a full 12 months period, and covering the annual period of registration with the University. This does not include people who were initially Students and then employed part-time by the University, e.g. as demonstrators, General Duty Assistants, Laboratory Technicians, etc.
D. General Preconditions to the Award of the Degree of Doctor of Philosophy (Integrated)

7. Before being awarded the degree of Doctor of Philosophy (Integrated), a candidate 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 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).

E. Supervision of Students

8. A candidate 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 academic supervisor is appointed by the head of school, or nominee, before a candidate is transferred to the research stage.

9. To be eligible to supervise candidates 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.

10. The head of school, or nominee, will designate a member of the supervisory team to be the academic supervisor. 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 candidate throughout the period of study. Any reference to the supervisor in these regulations or in the Guidelines for Research Students or in other documents shall be deemed to be a reference to the supervisory team. However, practically, the academic supervisor will normally act on behalf of the supervisory team for matters other than progression.

11. In any case where candidates are studying outside the University at another institution, arrangements may also be made for local supervision and support to be provided to the candidate by staff at that institution (see Regulation 16(d)). Such arrangements will supplement the role of the supervisor detailed in Regulation 9 above.

12. Where only one supervisor is available an additional adviser will be appointed by the head of school, with the approval of the dean of postgraduate studies.
F. Period of Study and Registration Requirements

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

(a) as a candidate whose minimum period of advanced study and research in the University shall normally be not less than three years of full-time study. These candidates will normally already have obtained a relevant masters or equivalent qualification;

(b) as a candidate whose minimum period of advanced study and research in the University shall normally be not less than four years of full-time study. These candidates will normally not have a relevant masters or equivalent qualification;

(c) where individual programme regulations allow, as a candidate whose minimum period of advanced study and research shall be not less than six years of part-time study.

Note: Staff candidates shall be deemed to be registered as part-time students during their period of candidature and therefore, shall normally be six years in length as outlined in regulation 13(c). However, if the dean of postgraduate studies is satisfied that the greater part of the candidate’s time is devoted to supervised research the candidature can be deemed to be 3 years or 4 years of full-time study as outlined in regulation 13(a) or (b).

14. Any candidate who wishes to transfer from one of the categories of candidature specified in Regulation 13 to another such category may do so only with the approval of the appropriate dean of postgraduate studies and subject to the recommendation of the relevant supervisory team and head of school.

Note: it should be borne in mind that a full-time candidate who completes a thesis for the degree of Doctor of Philosophy (Integrated) within the normal three or four-year period allowed under Regulation 13(a), (b) or (c) will have spent part of that time writing up. The fact that a candidate has reached the stage of writing up a thesis does not therefore of itself constitute grounds for transferring to part-time registration or to full or part-time (writing-up) registration.

15. In all cases of candidature approved under Regulation 13, approved candidates shall be required to register continuously as full-time or part-time candidates of the University for the duration of their candidature, as specified until their thesis is submitted. During this time candidates must abide by the requirements of the University’s General Regulations. A candidate’s period of study shall be reckoned from the date of first registration for the degree of Doctor of Philosophy (Integrated).

G. Study undertaken Outside the University

16. With respect to the research elements of the degree, any candidate may be permitted by a dean of postgraduate studies, on the recommendation of the relevant supervisory team and head of school, to study outside the
University, provided that in respect of any period of study not undertaken in the University the dean of postgraduate studies is satisfied before the beginning of that period of study that:

(a) the candidate will have access to adequate facilities and resources;
(b) sufficient time for study and research will be available to the candidate;
(c) appropriate arrangements have been made for the candidate’s supervision during the period of study outside the University, including arrangements for the supervisory team to maintain contact with and to meet with the candidate as often as is necessary;
(d) appropriate arrangements have been made in any case where the candidate is attached to or working at an institution outside the University and is offered local supervision and support by staff at that institution.

Note: that any candidate who is permitted to undertake part of their study outside of the University is required to pay the standard fees whilst they remain within their candidature, unless alternative arrangements were approved as part of the admission process.

H. Attendance and Progress

17. With respect to the taught elements of the degree, a candidate 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.

18. The progress of all candidates registered for the degree of Doctor of Philosophy (Integrated) shall be reviewed 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.

19. In the case of any candidate 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 candidate be re-examined in the failed modules in accordance with the programme regulations for the degree of Doctor of Philosophy (Integrated);
(b) the candidate be required to produce additional work and/or to undergo further review after an additional period of study and research;
(c) the candidate be considered for the award of a Masters degree in accordance with Regulation J 26;
(d) the candidate not be permitted to remain as a registered candidate for either the degree of Doctor of Philosophy (Integrated) or for a Masters degree and that the candidature be terminated.

20. With respect to the research elements of the degree, that is, in the second and subsequent years of registration for the PhD (Integrated), the school shall appoint a progress panel for each candidate and the supervisory team shall submit an annual report concerning the progress of the candidate. A candidate shall:

(a) within 3 months of beginning the research element of the programme, have signed an approved learning agreement between the candidate and the University to cover the period of research;

(b) where candidates are pursuing a course of study without a pre-approved project proposal, they should, within the guidelines identified by the graduate school, submit project proposals for approval by an independent school panel. Progression on the research element of the programme will be dependent upon acceptance of the project proposal. 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 candidate;

(c) attend the University as frequently and at such intervals as the supervisory team shall require, bearing in mind whether the candidate 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 approved by Senate, candidates 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;

(d) maintain a record of their personal development throughout their period of registration and submit this as evidence of development on an annual basis;

(e) submit reports and evidence of achievement as specified by the school or graduate school on an annual basis. Candidates 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 candidate.

21. The school will appoint a progress panel for each candidate. The progress of each candidate will be reviewed annually, following the board of examiners at the end of the first 12 months.

22. Each supervisory team shall submit an annual report concerning the progress of the candidate’s research for review by the appointed progress panel.
23. The progress panel will make a report to the dean of postgraduate studies via the graduate school and further progress on the programme of study is subject to approval by the dean. In addition to detailed feedback that the progress panel may wish to provide to the candidate and the supervisory team, the progress panel will make one of the following recommendations to the graduate school:

(a) that the candidate’s performance is satisfactory and that the candidate can proceed to the next stage. If the candidate is a stage 1 student the candidature to study for the Doctor of Philosophy (Integrated) is confirmed;

(b) that notwithstanding some concerns which the candidate and supervisory team should note, the candidate’s overall performance is satisfactory and that the candidate can proceed to the next stage. If the candidate is a stage 1 student the candidature to study for the Doctor of Philosophy (Integrated) is confirmed;

(c) that the candidate’s performance is unsatisfactory and that a further assessment should be held within two months to determine whether progress on the programme will be recommended;

(d) that the candidate’s performance is unsatisfactory and that a submission for a Master of Philosophy examination is recommended instead of a submission for a Doctor of Philosophy (Integrated) examination;

(e) that the candidate’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.

Note: That the progress panel should not normally recommend that a candidate’s registration is terminated (Convention 23(e)), without having previously provided a further assessment opportunity to the candidate (Convention 23(c)).

24. In exceptional cases where the progress panel is not satisfied that the supervisory arrangements are adequate and appropriate, but considers that the candidate 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 for the replacement of all or part of the supervisory team.

25. 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 procedures are available at www.ncl.ac.uk/students/progress/staff-resources/procedures.htm

J. Award of a Master's Degree

26. In the case of candidates 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 candidate 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.

K. Mid Year Procedure for Dealing with Unsatisfactory Progress

28. With respect to the research element of the degree, a candidate whose progress is considered unsatisfactory by the supervisory team at times other than the normal occasions of 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 candidate's attendance, progress and performance may be monitored; 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. The candidate 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 via the graduate school (in accordance with Regulation 23).

L. Procedure for Review of Penalties for Unsatisfactory Progress

29. A candidate applying for review of the decision of the progress panel may only do so in writing, using the University Academic Appeals Procedure, specifying one or more of the following grounds:

- (a) the progress panel were not aware of circumstances affecting the candidate’s performance. (That is: the candidate 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) inadequate assessment by the progress panel;
- (d) bias or prejudice on the part of the progress panel.

M. Interruption of Study

30. The University normally expects candidates to complete their candidature in a single continuous period, i.e. continuously registered until the submission of the thesis. However, sympathetic consideration will be given to requests for interruption arising due to unforeseen mitigating circumstances.
Candidature should not normally be held in abeyance for more than 12 months. An Interruption to candidature may be granted by the appropriate dean of postgraduate studies, subject to the candidate providing strong justification for an interruption, supported by the supervisory team.

N. Teaching Duties

31. 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 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
www.ncl.ac.uk/aqss/qsh/PG_Who_Teach_Policy.pdf

P. Assessment of the Taught Elements

32. 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).

R. Submission for Examination by Thesis

33. The results of a candidate’s advanced study and research must be embodied in a thesis in the approved form in accordance with the Rules for the Submission of Work for Higher Degrees and the Rules for the Form of Theses (see items XVII and XVIII). The length of a thesis shall be approximately 50,000 words, bearing in mind guidance issued, if any, by the candidate’s graduate school. The thesis must be submitted, together with the completed and signed submission form and other relevant material, to the relevant graduate school office.

34. The exact title of a candidate’s thesis must be submitted on the appropriate form for approval by the dean of postgraduate studies not less than one month before the thesis is submitted.

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

(a) within four years in the case of candidates proceeding under the provisions of Regulation 13(a);

(b) within five years in the case of candidates proceeding under the provisions of Regulation 13(b);

(c) where programme regulations for the degree of Doctor of Philosophy (Integrated) allow part-time study, those regulations shall state the number of years in which the thesis must be submitted.
36. Except with the permission of the appropriate dean of postgraduate studies, a candidate may not submit a thesis earlier than the beginning of the last term of the prescribed period of study. Candidates who submit a thesis at the beginning of the last term of the prescribed period of study or, with appropriate permission, earlier, shall nevertheless still be required to pay tuition fees (full-time or part-time as appropriate, depending on the type of candidature) for the whole of the prescribed period of study.

S. Candidates Registered as ‘Writing up’ before 1st August 2009

37. Candidates who have completed their research and who require the continued use of University library and computing facilities but who are completing the writing of their thesis and do not need normal supervision may be permitted on the recommendation of their supervisory team in consultation with the appropriate head of school to register as 'full-time (writing-up)' or 'part-time (writing-up)' candidates. The full-time (writing-up) mode of registration is open only to those who have completed the minimum period of registration specified in Regulation 13(a) or (b) above.

Notes
(i) Candidates who have completed the minimum period of registration specified in Regulation 13(c) will not be permitted to register under the full-time (writing-up) mode of registration.

(ii) Since candidates at the writing-up stage will have completed all experimental work and data collection, those who are registered under either of the writing-up categories 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).

(iii) It is expected that candidates who are registered as writing-up will no-longer require regular structured interactions with members of the supervisory team and that supervision will be significantly reduced.

38. Exceptionally, a candidate who is neither required to register nor chooses to register after the completion of the minimum required period of registration specified in Regulation 13 is deemed to be on a leave of absence from the University. The reason for the absence shall be noted as writing-up, but it is understood that such a candidate will not normally be granted access to University facilities or supervisory support.

T. Pending Submission for Candidates completing their minimum period of Candidature after 31 July 2009

39. All Candidates, staff or students, who have completed their minimum candidature and have not submitted their thesis may be permitted on the recommendation of their progress panel to register as ‘pending submission’ candidates for one further year. ‘Pending submission’ candidates are required to register with the University and pay the appropriate tuition fee.
Notes
(i) Candidates who have completed their minimum candidature and still require more time to work on their research and submit their thesis must register with the University

(ii) The fact that a candidate has completed their minimum candidature does not of itself constitute grounds for transferring to ‘pending submission’ registration with a reduced fee. Candidates who require normal facilities and supervision will pay the full fee for their candidature. Candidates registering under the ‘pending submission’ category with a reduced fee 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).

(iii) It is expected that candidates who are registered as ‘pending submission’ with a reduced fee will no longer require regular structured interactions with members of the supervisory team and that supervision will be significantly reduced, to less than half of the fully registered provision. However, full access to Library and computing facilities will be available.

U. Extensions of Time for Submission
40. In exceptional cases, an extension of time for submission may be granted by the appropriate dean of postgraduate studies, subject to the candidate justifying such an extension, supported by the supervisory team. Candidates granted extensions of time in accordance with this provision, may be required to pay fees as the University shall prescribe from time to time.

V. Examination
41. Details of the required arrangements for the examination are provided in the Doctor of Philosophy by Thesis Examination Conventions.

W. Language of Submission
42. A candidate’s thesis must be written in English. In exceptional cases, subject to the candidate justifying such a concession, the appropriate dean of postgraduate studies may allow the candidate to submit a thesis written in a modern language other than English. Such a concession shall be granted only where a candidate 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 viva voce examination must be conducted in English.

Note:
The University cannot undertake to arrange the examination of a thesis immediately after its submission. Candidates are warned that several weeks may elapse between the submission of a thesis and the completion of the
examination, and should consult with their academic supervisor well in advance. The normal period between a submission of a thesis and an examination is ten weeks, although circumstances may necessitate a longer time frame.
XVI. Regulations for the Degrees of Doctor of Letters; Doctor of Engineering; Doctor of Laws; Doctor of Science in Medicine or in Science or in Engineering or in Agriculture and Biological Sciences

1. Candidates for these degrees must either:
   (a) hold a degree of this University (or a degree of the University of Durham, provided that they matriculated in the Newcastle Division of that University before 1 August 1963); or
   (b) be full-time members of the academic staff who have held teaching and/or research appointments in the University on a continuous full-time basis for at least seven years.

2. The degrees are awarded for work which is of high distinction and constitutes a substantial and original contribution to knowledge or scholarship in the candidate's subject. The contributions to knowledge or scholarship must either already be published or accepted for publication.

Note: for the purposes of these regulations, 'published' shall mean published in a periodical, book or report which has been available for criticism by relevant experts. Teaching textbooks and popular books or articles should not be submitted unless they show considerable originality of material or approach. Translations or patents are not acceptable.

3. Those intending to submit work as a candidate for any of these degrees should, in addition to consulting the Rules for the Submission of Work for Higher Degrees, write to the Academic Registrar for particular advice about the form, arrangement and listing of works to be submitted.

4. The University reserves the right to retain the material submitted by candidates for any of these degrees.

5. Work submitted for any of these degrees shall be examined by two examiners who are not members of the staff of the University.

6. Candidates for these degrees are required to pay a fee for submission. There is no further fee at the time of conferment of the degree.
XVII. Rules for the Submission of Work for Higher Degrees

1. These rules apply to all material, whether in the form of a thesis, or of published or unpublished work, submitted for Research degrees, including: DSc, MD, DLitt, DDS, LLD, DEng, PhD, PhD (Integrated), DBA, EdD, MPhil, MRes, LLM.

2. Where a thesis is required by the regulations for the degree it must be submitted in the form described under Rules for the Form of Theses and must include, as a preface, an abstract of the work, not exceeding 300 words, in a form suitable for publication.

3. Two copies of the thesis must be submitted together with three further copies of the abstract referred to above. In addition, an electronic copy of the thesis may be required in a format that adheres to the guidance issued by the University library.

4. The submitted copies of the thesis become the absolute property of the University. If a candidate is successful, one copy of the thesis is deposited in the University Library and is thereafter subject to its regulations and rules. The second copy of the thesis is deposited with the school most concerned with it.

5. Candidates submitting a doctoral thesis must also sign a thesis deposit licence, which can be obtained from the relevant Graduate School Office. Bibliographic details of all theses are sent to the British Library, and electronic copies will be added to the national EThOS database.

6. Where work other than a thesis is required, two copies shall be submitted.

7. The copyright in all material submitted for a higher degree remains with the candidate.

8. If a candidate wishes to request a restriction on public access to their thesis, they should complete a 'Request to restrict access to a thesis' form, available from their Graduate School office. Requests must comply with the criteria set out in the Freedom of Information Act 2000.

9. Candidates must submit a higher degree examination entry form which contains:

(a) a declaration that the thesis is the candidate's own work and has correctly acknowledged any work of others, in accordance with University and School guidance on good academic conduct, and that no part of the material offered has been previously submitted for a degree of other qualification in this or any other University.

(b) a statement showing whether or not any part of the material offered has previously been submitted by the candidate for a degree (or qualification) in this or any other institution, and if joint work is submitted, what part of it is the candidate's independent contribution;
SUBMISSION OF WORK FOR HIGHER DEGREES

(c) a certificate from the academic supervisor of any candidate required to undertake supervised study that the candidate has satisfactorily completed the required programme;

(d) a certificate stating that all financial obligations to the University have been fulfilled by the student.

10. Copies of theses or published and unpublished work and accompanying documents for degrees should be sent to the relevant graduate school office.
XVIII. Rules for the Form of Theses

1. These rules apply to theses submitted for the DDS, MD, DBA, EdD, MPhil, LLM, PhD or PhD (Integrated) and to unpublished work submitted for the LLD.

2. A candidate is required to submit the thesis in a condition suitable for preservation in the University Library and in conformity with current BSI specifications. In addition, candidates may be required to submit their thesis in an electronic version as directed by the relevant Graduate School.

3. When titles of theses quote generic and specific names of living or fossil organisms, these names should obey the appropriate rules of nomenclature, and the higher systematic position of the organisms should be given. When necessary, a shortened version of the title should be printed on the cover of the thesis and the full title should appear on the first appropriate page inside.

4. The texts of theses must be, as far as possible, word processed on A4 paper of good quality. The two volumes to be retained by the University may initially be in either hard-bound or soft-bound form, but the degree will not be awarded until they are bound in a fixed binding of boards with cloth back, or better fixed binding. Each volume must bear the name of the candidate, the title of the thesis, the name of the degree for which the thesis is submitted and the date of submission. The format of any submitted electronic version of the thesis must adhere to the guidelines issued by the University Library.

5. Diagrams, maps and similar documents may be submitted in a portfolio of any size and must bear equally the particulars mentioned in (4) above.

6. The normal length of a doctoral thesis has been determined as follows. Candidates must note any requirements or guidance issued by their graduate school or specific programme regulations.

   (a) For the Faculty of Humanities and Social Sciences the thesis should not exceed 100,000 words (inclusive of notes, bibliography and appendices);

   (b) For the Faculty of Medical Sciences and the Faculty of Science, Agriculture and Engineering the thesis should not exceed 80,000 words;

   (c) For PhD (Integrated) programmes the thesis should not exceed 50,000 words

Note: a candidate should consult the more detailed information which is available from the Librarian of the University Library and the Graduate School Office as to the proper form of binding for both soft and hard-bound theses.