

POSTGRADUATE RESEARCH REGULATIONS



UNIVERSITY OF
LINCOLN

2022-23

This document sets out the general principles and Regulations that apply to the University's research degree awards as listed in the University's Schedule of Awards.

These Regulations supersede all previous Regulations on postgraduate research awards at the University of Lincoln which are hereby revoked.

29 November 2022

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Section A – Postgraduate Research Regulations

A.1 Introduction

- A.1.1 These Regulations are the University's Regulations for research degree awards and all other Regulations and Policies of the University take effect subject to these Regulations and will be interpreted and applied consistently with them.
- A.1.2 These Regulations:
- A.1.2.i Establish the conditions under which the University will award the degrees of Masters (MA/MSc) by Research, Master of Philosophy (MPhil), Doctor of Philosophy (PhD), PhD by Published Work/Practice Portfolio, and Professional Doctorates.
 - A.1.2.ii Establish the powers of College Research Degree Boards, who are the Board of Examiners for research degrees, and provide for the conduct of examination.
- A.1.3 These Regulations apply to:
- A.1.3.i Individuals who have formally applied, received an offer from, have accepted an offer or have enrolled to be a research degree student of the University.
 - A.1.3.ii All students who have temporarily interrupted their studies at the University.
 - A.1.3.iii Individuals employed by the University.
 - A.1.3.iv Individuals engaged to provide a service to the University under a contract for services.
 - A.1.3.v Visiting members of the University, such as visiting professors and visiting fellows.
 - A.1.3.vi External Examiners appointed to the University.
 - A.1.3.vii Individuals who contribute in any other way to the academic enterprise of the University.
- A.1.4 The University undertakes to take all reasonable steps to provide the teaching, examination, assessment, and other educational services set out in its prospectus and other University documents.
- A.1.5 Should industrial action or circumstances beyond the control of the University interfere with its ability to provide educational services, the University undertakes to use all reasonable steps to minimise the resultant disruption to those services.
- A.1.6 A student who wishes to make any change to their programme must submit a request to the relevant CRDB. If approved, the request will be deemed to take effect from the date the request is submitted.
- A.1.7 The Academic Registrar exceptionally may agree, on an individual student basis, a variation to the Regulations. Any such arrangements will be reported to the relevant committee of Academic Board as soon as practicable.

A.1.8 The University reserves the right to modify its Regulations at any time, but the University will consider the timescale for introducing changes and the effect on current cohorts of students via consultation with stakeholders. Changes will not normally be introduced for implementation in the current academic year but would take effect in the following academic year. There may be differences in the Regulations as they apply to different cohorts of students registered for the same award.

A.2 Pass Standard

A.2.1 Masters by Research

A.2.1.A Masters by Research are awarded to students, who having completed a period of supervised research, embody that research in a thesis that has been assessed by at least one external and an internal examiner. A rationale for proposals around alternative assessment must be submitted to the CRDB for approval.

A.2.1.B A successful candidate for a Masters by Research will demonstrate through the presentation of a scholarly thesis:

A.2.1.B.i A systematic and critical understanding of a body of knowledge in the academic discipline, field of study or creative domain to which the research relates.

A.2.1.B.ii An understanding of the research techniques in the relevant academic discipline, field of study or creative domain to which the research relates.

A.2.1.B.iii Application of knowledge and research techniques.

A.2.1.B.iv Critical evaluation of the subject of the research.

A.2.2 MPhil

A.2.2.A The degree of MPhil is awarded to a student who, having completed a period of supervised research, embodies that research in a thesis that has been assessed by a viva. A rationale for proposals around alternative assessment formats (e.g., performance, film, or exhibition) must be submitted to the CRDB for approval.

A.2.2.B A successful candidate for the degree of MPhil will demonstrate through the presentation of a scholarly thesis and by viva:

A.2.2.B.i A systematic and critical understanding of a substantial body of knowledge in the academic discipline, field of study or creative domain to which the research relates.

A.2.2.B.ii A comprehensive understanding of the research techniques in the relevant academic discipline, field of study or creative domain to which the research relates.

A.2.2.B.iii Originality in the application of knowledge and research techniques.

A.2.2.B.iv Critical evaluation of the subject of the research.

A.2.3 PhD

A.2.3.A The degree of PhD is awarded to a student who, having completed a period of supervised research, embodies that research in a thesis that has been assessed by a viva. A rationale for proposals around alternative assessment formats (e.g., performance, film, or exhibition) must be submitted to the CRDB for approval.

A.2.3.B A successful candidate for the degree of PhD will demonstrate through the presentation of a scholarly thesis and by viva:

- A.2.3.B.i A systematic and critical understanding of the body of knowledge at the forefront of the academic discipline, field of study or creative domain to which the research relates.
- A.2.3.B.ii A detailed understanding of research techniques consistent with advanced academic enquiry in the relevant academic discipline, field of study or creative domain to which the research relates.
- A.2.3.B.iii The ability to conceive, implement and, where appropriate, modify a plan of research capable of creating new knowledge at the forefront of the academic discipline, field of study or creative domain.
- A.2.3.B.iv An original contribution to the body of knowledge of an academic discipline, field of study or academic domain in a way that extends the forefront of that academic discipline, field of study or creative domain and which would warrant publication in the judgment of peers.

A.2.4 Practice-Based Research

A.2.4.A A candidate for the degree of Masters by Practice-based Research, MPhil by Practice or PhD by Practice may submit other work in part fulfilment of the obligation to submit a thesis with the approval of the CRDB:

- A.2.4.A.i A practice-based research degree entails a practitioner producing a body of work accompanied by a written thesis concurrently with their period of registration.
- A.2.4.A.ii Appropriate records of the practice, together with commentaries, will then comprise the main body of the portfolio submitted in place of the thesis for examination.
- A.2.4.A.iii The thesis must establish, in a way that can be assessed by viva, that the portfolio constitutes a coherent body of original work, and that the student fulfils all other requirements for the conferment of the requisite degree.

A.2.5 Professional Doctorate

A.2.5.A The PhD (Prof) will be awarded to a candidate who has passed both the taught and research components of the programme, and demonstrably made an independent and original research contribution to a specific professional area.

A.2.5.B The maximum number of credits that can be gained by taught elements is 180. A student on the taught element of a professional doctorate will be subject to the Postgraduate Taught Regulations.

A.2.5.C Through completion of both the taught and research components, a candidate for the degree of PhD (Prof) will demonstrate:

- A.2.5.C.i The creation and interpretation of new knowledge through original research or other advanced scholarship, of a quality to satisfy peer review, extend the boundaries of the discipline, and merit publication.
- A.2.5.C.ii The systematic acquisition and understanding of a substantial body of knowledge which is at the forefront of an academic discipline or area of professional practice.
- A.2.5.C.iii The general ability to conceptualise, design and implement a project for the generation of new knowledge, applications or understanding at the boundaries of the discipline, and to adjust the project design in the light of unforeseen problems.
- A.2.5.C.iv A detailed understanding of applicable techniques for research and advanced academic enquiry.
- A.2.5.C.v Informed judgements on complex issues in specialist fields, often in the absence of complete data, and be able to communicate their ideas and conclusions clearly and effectively to specialist and non-specialist audiences.
- A.2.5.C.vi The undertaking pure and/or applied research and development at an advanced level, contributing substantially to the development of new techniques, ideas, or approaches.
- A.2.5.C.vii The qualities and transferable skills necessary for employment requiring the exercise of personal responsibility and largely autonomous initiative in complex and unpredictable situations, in professional or equivalent environments.

A.3 Enrolment and Periods of Registration

A.3.1 Durations of Study

A.3.1.A The mode and duration of study for each research degree award of the University is set out below.

Award	Mode of study	Minimum length	Maximum length
Masters (MA/MSc) by Research	Full time	9 months	16 months
	Part time	14 months	24 months
MPhil	Full time	18 months	32 months
	Part time	27 months	48 months
PhD, via transfer from MPhil	Full time	27 months	48 months
	Part time	41 months	72 months
MD	Full time	24 months	48 months
	Part time	41 months	72 months
PhD, direct	Full time	27 months	48 months
	Part time	41 months	72 months
PhD (Prof)	Full time	27 months	48 months
	Part time	41 months	72 months

A.3.1.B The end date of registration will be the date of first submission of the student's thesis.

A.3.1.C Re-enrolment will take place annually within 1 month of the anniversary of the first enrolment. Re-enrolment is subject to successful progression and eligible students who fail to re-enrol may be deemed by the University to have terminated their registration. Students who have submitted their thesis for examination must continue to re-enrol annually within 1 month of the anniversary of the first enrolment.

A.3.2 Extensions to Periods of Study

A.3.2.A Students approaching their maximum registration may, in exceptional circumstances, apply for a single extension to their registration of up to 6 months.

A.3.2.B Applications for an extension must be submitted to the CRDB 1 month prior to the end of the period of registration. The application must include independent supporting evidence and a plan of work with timescales for completion.

A.3.2.C Students who have exceeded their period of registration without submitting their thesis will have their enrolment and registration terminated.

A.3.3 Transfer from Other Institutions

A.3.3.A A student may transfer their postgraduate research studies from another institution; such students will be required to apply through the normal postgraduate research admissions process. Admitted students must be registered for a minimum of 12 months full time or 24 months part time regardless of the stage of their studies at the previous institution. The CRDB will determine the period of registration.

A.4 Engagement

A.4.1 Each School is responsible for monitoring student engagement. Engagement requires active participation in regular supervision, which must take place monthly for full time students and bi-monthly for part time students. This level of engagement is also expected for all students up to the time that the degree is awarded by the CRDB.

A.4.2 Students who do not engage with their studies can be withdrawn via the Student Engagement and Participation Policy.

A.5 Progression

A.5.1 By the end of each 12-month period, students are required to complete and submit the relevant progression paperwork to the CRDB (FT is Full Time and PT is Part Time):

	End of Year 1	End of Year 2	End of Year 3	End of Year 4	End of Year 5	End of Year 6
Masters by Research						
FT	Confirmation of Studies AND Annual Monitoring or Thesis submission	Thesis submission	N/A	N/A	N/A	N/A
PT	Confirmation of Studies AND	Thesis submission	N/A	N/A	N/A	NA

	Annual Monitoring					
MPhil						
FT	Confirmation of Studies AND Annual Monitoring	Annual Monitoring	Thesis submission	N/A	N/A	N/A
PT	Confirmation of Studies AND Annual Monitoring	Annual Monitoring	Thesis submission OR Annual Monitoring	Thesis submission	N/A	N/A
MPhil/PhD						
FT	Confirmation of Studies AND Request to Transfer	Annual Monitoring	Annual Monitoring	Thesis submission	N/A	N/A
PT	Confirmation of Studies AND Annual Monitoring	Request to Transfer	Annual Monitoring	Thesis submission OR Annual Monitoring	Thesis submission OR Annual Monitoring	Thesis submission
PhD/ PhD (Prof)						
FT	Confirmation of Studies AND Annual Monitoring	Annual Monitoring	Annual Monitoring	Thesis submission	N/A	N/A
PT	Confirmation of Studies AND Annual Monitoring	Annual Monitoring	Annual Monitoring	Thesis Submission OR Annual Monitoring	Thesis submission OR Annual Monitoring	Thesis submission

- A.5.2 A students' Confirmation of Studies must be submitted within 4 months for full time students and 8 months for part time students.
- A.5.3 Where, having reviewed a student's progress, the CRDB approves progression, the student will complete the University's procedures for re-enrolment where required.
- A.5.4 If progression is not submitted or approved the student will be required to undertake remedial actions as determined by the CRDB before its next meeting. If progression is not approved at that point the student will be withdrawn from their programme on the grounds of academic failure and at that point, any appropriately earned exit awards will be awarded.
- A.5.5 The CRDB will satisfy itself that the student has adequately undertaken the appropriate research and professional skills training identified in the initial Research Development Needs Analysis and has identified progress against research objectives.
- A.5.6 In the case of PhD (Prof) students' progression, the CRDB will approve the submission of satisfactory Confirmation of Studies and, where appropriate and possible, evidence of ethical approval or its submission for approval, within 4 months of completion of the taught component for full time students, or 8 months for part time students.
- A.5.7 The CRDB may decide to withdraw a student from the PhD (Prof) programme if their doctoral research project proposal is inadequate. The CRDB will determine whether the student is eligible for an exit award as detailed in the Postgraduate Taught Regulations.

A.6 Supervision

- A.6.1 Supervisors will have completed mandatory supervisory training prior to supervising a student.
- A.6.2 The requirements or training for supervisors new to the University include:
 - A.6.2.i Prior completions or evidence of prior supervisory training completed elsewhere.
 - A.6.2.ii Undertake University supervisory training within a further 12 months of joining the University.
- A.6.3 Where a proposed supervisor is not a University member of staff, the relevant CRDB will ensure that the proposed non-staff supervisor will be adequately supported by the Doctoral School, including the opportunity to undertake supervisory training. In these circumstances, supervisory training provided by other academic institutions will be deemed satisfactory for non-University staff.
- A.6.4 The supervisory team will consist of at least two supervisors, at least one of whom will have experience of supervising the relevant or higher research degree to completion. This constitution of the supervisory team also applies to MPhil students who may transfer onto the PhD.
- A.6.5 One supervisor will be the Director of Studies with overall responsibility for the supervision of the student.
- A.6.6 As part of the consideration of a student's Confirmation of Studies, the CRDB will confirm whether the arrangements for the supervision of a programme are adequate or not.
- A.6.7 Any changes in supervisory arrangements must be approved by the CRDB.
- A.6.8 Existing postgraduate research students will be ineligible to act as a Director of Studies but may act as a second supervisor or adviser.

A.7 Transfer of Research Degree

A.7.1 Transfer Requests

- A.7.1.A Transfer requests must be made within 12 months from first registration for full time and 24 months for part time students.
- A.7.1.B The transfer procedure must be followed for students transferring from MRes to MPhil and for MPhil to PhD.
- A.7.1.C A transfer request will:
 - A.7.1.C.i Demonstrate that the work has progressed sufficiently and provide evidence of development towards the higher degree.
 - A.7.1.C.ii Be considered by a relevant School transfer panel comprising of two to three members. The student will attend to defend the transfer request. The student's Director of Studies, or another nominated member of the supervisory team, may attend the panel, but must not participate.

A.7.1.C.iii Result in the transfer panel making a recommendation to the CRDB for final approval.

A.7.1.D All transfer requests must be approved by the CRDB with the following outcomes:

A.7.1.D.i Approve the transfer.

A.7.1.D.ii The CRDB may require that remedial work be undertaken before a request can be approved. The completed remedial work will need to be submitted within 3 months for full time students and 6 months for part time students from the date of the CRDB.

A.7.1.D.iii Decline the transfer.

A.7.1.E Where a CRDB is not satisfied with the remedial work submitted and does not approve the transfer, or a CRDB declines a transfer outright as under A.7.1.B, a student will be permitted to submit only one further transfer request.

A.7.1.F After a second full transfer request is declined, CRDB will decide to either withdraw the student or offer an alternative qualification route. No further transfer requests will be considered.

A.7.2 Transfer to a Lower Award

A.7.2.A At any time prior to the submission of a thesis, a student may request to be registered for a lower award. Students on a Professional Doctorate are not permitted to transfer to the MPhil.

A.7.2.B Following a transfer to a lower award, CRDB will confirm the last date for completion, which will be either:

A.7.2.B.i The original latest completion date for the programme that the student was registered for.

A.7.2.B.ii 12 months for a full time student or 18 months for a part time student from the date of the CRDB meeting that approved the transfer.

A.8 Examiners

A.8.1 The Examiners will be appointed by the CRDB at least 6 months prior to planned thesis submission or at the stage that the student applies for thesis pending status, whichever is earlier.

A.8.2 A student will be examined by at least two Examiners, at least one of whom will be an External Examiner. Staff candidates will be examined by three Examiners, at least two of whom will be External Examiners.

A.8.3 An Internal Examiner will be either:

A.8.3.i A member of staff of the University.

A.8.3.ii In the cases of joint or dual arrangements, a member of staff of the student's partner institution.

- A.8.4 A person who has supervised the student or acted as an advisor during the student's period of studies must not be appointed as an Examiner.
- A.8.5 Examiners will be experienced in research in the subject area of the student's thesis and will preferably have experience as a specialist in the topic to be examined.
- A.8.6 At least one Examiner will have experience of three or more previous examinations for the Level that the student is being examined for.
- A.8.7 For Masters by Research, one Examiner will have experience of one or more previous examinations at the appropriate Level or above, or extensive experience of examining the research element of postgraduate taught programmes.
- A.8.8 An External Examiner will be independent of the University and any partner institution in the case of a joint or dual supervision arrangement.
- A.8.9 The External Examiner for the viva will not also be an External Examiner on a taught programme at the University.
- A.8.10 Former University staff will not be approved as External Examiners for vivas until at least 4 years have elapsed after the end of their employment with the University.
- A.8.11 The CRDB will ensure an appropriate range of academics will act as External Examiners.

A.9 Viva

- A.9.1 Postgraduate Research students, except Masters by Research students, will be examined on their research by viva.
- A.9.2 The decision to present the thesis for examination is the sole responsibility of the student.
- A.9.3 Vivas must take place within 4 months of submission of the thesis.
- A.9.4 Where the CRDB is satisfied that a student would be under serious disadvantage in the conduct of a viva, an alternative means of examination may be approved.
- A.9.5 Masters by Research students are examined on the basis of a written thesis alone. However, where requested by a student or an examiner, a viva may be conducted.
- A.9.6 Each Examiner will submit an independent preliminary report before the viva. The report will either:
 - A.9.6.i Determine that the thesis satisfies the requirements appropriate to the Level of the degree undertaken.
 - A.9.6.ii Identify appropriate provisional recommendations subject to the outcome of the viva.
- A.9.7 An Independent Chair, appointed by the CRDB, must be present at all vivas. The Chair will ensure:
 - A.9.7.i Fairness in the way the viva is conducted.

- A.9.7.ii That the University's Regulations are adhered to.
- A.9.7.iii That the outcome of the viva is appropriately communicated to all parties.
- A.9.8 The Chair is not expected to read the thesis, make any contribution to its evaluation at any stage or to contribute to the academic judgment on the outcome of the viva.
- A.9.9 The CRDB will make a decision on the reports and recommendations of the Examiners.
- A.9.10 Where the Chair identifies a failure in process of the examination, CRDB will provide a resolution strategy which may include annulment of the viva.
- A.9.11 Where the degree of PhD involves a joint or dual award with another institution, the relevant CRDB will satisfy itself as to the equivalency and suitability of any mutually agreed examination arrangements.

A.10 Outcomes of the First Examination

- A.10.1 Following the viva, the First Examiners will submit a joint report and recommendation relating to the award of the degree to the CRDB. The report and recommendation must provide sufficiently detailed comments to enable the CRDB to agree that the recommendation for award is correct.
- A.10.2 Where the First Examiners' recommendations are not unanimous, separate reports and recommendations will be submitted to the CRDB. In such cases, the CRDB may:
 - A.10.2.i Accept the recommendation of the External Examiner.
 - A.10.2.ii Require the appointment of an additional External Examiner.
- A.10.3 Where an additional External Examiner is appointed, the Examiner will not be informed of the recommendations of the First Examiners.
- A.10.4 The additional External Examiner will prepare an independent preliminary report and, if they require it, a further viva may be conducted.
- A.10.5 The Examiners will recommend to the CRDB that the student is:
 - A.10.5.i Awarded the degree.
 - A.10.5.ii Awarded the degree subject to minor amendments, to be completed within 3 months for full time or 6 months for part time students of notification by the CRDB.
 - A.10.5.iii Awarded the degree subject to substantive amendments, to be completed within 6 months for full time or 12 months for part time students of notification by the CRDB.
 - A.10.5.iv Not awarded the degree and given a single opportunity to be re-examined.
 - A.10.5.v Not awarded the degree and not permitted to be re-examined.
 - A.10.5.vi The Examiners may recommend to the CRDB that the student is awarded a lower degree reflecting the standard of work achieved, which may be subject

to minor amendments, to be completed within 3 months for full time and 6 months for part time students of notification by CRDB.

- A.10.6 Where amendments apply, the Examiners will decide whether the amendments are to be approved by one or more members of the examination team. The CRDB will confirm approval of the amendments.
- A.10.7 Where no re-examination is permitted, the Examiners will prepare an agreed statement on the deficiencies of the thesis which will be sent to the student by the CRDB.
- A.10.8 Examiners will provide feedback on the viva and provide an informal notification of the viva result to the student, making it clear that any informal examination result is subject to approval by the CRDB.

A.11 Re-Examination

- A.11.1 Re-examination will take place as one of the following:
 - A.11.1.i Re-examination of the thesis, with the thesis being resubmitted within 10 months for full time or 20 months for part time students of notification by the CRDB.
 - A.11.1.ii Re-examination by viva, with the viva taking place within 4 months of notification by the CRDB.
 - A.11.1.iii Re-examination of both the thesis and the viva, with the thesis being resubmitted within 10 months for full time or 20 months for part time students of notification by the CRDB and the viva taking place within 4 months of the resubmission of the thesis.
- A.11.2 The CRDB may require that an additional or alternative External Examiner be appointed for the re-examination.
- A.11.3 Following re-examination, the Examiners will recommend to the CRDB that the student is:
 - A.11.3.i Awarded the degree.
 - A.11.3.ii Awarded the degree subject to amendments, to be completed within 3 months for full time or 6 months for part time students of notification by the CRDB.
 - A.11.3.iii Awarded a lower degree reflecting the standard of work achieved, which may be subject to amendments, to be completed within 3 months for full time and 6 months for part time students of notification by the CRDB.

A.12 The Thesis

- A.12.1 The word count of the thesis (excluding ancillary data) will be:

PhD	Maximum 80,000 words	
PhD (Prof)	Maximum 60,000 words	
MPhil	Maximum 40,000 words	
Masters by Research	Maximum 25,000 words	

PhD by Practice	Minimum 25,000 words	Maximum 40,000 words
MPhil by Practice	Maximum 25,000 words	
Masters by Practice-Based Research	Maximum 15,000 words	

- A.12.2 The student must submit an electronic copy of the thesis for examination.
- A.12.3 The thesis must be presented in English. The CRDB will consider requests for the thesis to be presented in a language other than English, and in these cases, a summary in English must be included comprising up to 4,000 words.
- A.12.4 An abstract comprising no more than 500 words must be provided at the beginning of the thesis.
- A.12.5 The thesis must be presented in size 12 non-cursive font.
- A.12.6 One-and-a-half spacing must be used except for indented quotations or footnotes where single spacing may be used.
- A.12.7 Pages must be numbered consecutively through the main text including photographs and/or diagrams included as whole pages.
- A.12.8 The main title page must provide the following information.
- A.12.8.i The full title of the thesis
 - A.12.8.ii The full name of the author
 - A.12.8.iii The award for which the thesis is submitted
 - A.12.8.iv The name of the student's School and College
 - A.12.8.v The month and year of submission
- A.12.9 A candidate for a research degree must provide a final electronic version of the thesis within 1 month following either successful examination or after satisfactory completion of required amendments.
- A.12.10 The final electronic version of the thesis will be published on the University's repository site.
- A.12.11 Any copies of the thesis submitted to the University remain the property of the University.

A.13 Confidentiality of the Thesis

- A.13.1 The CRDB may agree that a thesis should remain confidential for a period of time on the written request of the student, which must accompany the thesis at the time of submission. The period of time must not exceed 2 years. Copies will be made available to all those involved in the examination process.
- A.13.2 On completion of the examination process, the final copies of the thesis will be held by the University and only published on the University's repository site at the end of the period of confidentiality approved by the CRDB.

Section B – Interruption of Study

B.1 Interruption of Study

- B.1.1 A student may interrupt their study at any time during an academic year and will remain bound by these Regulations during interruption.
- B.1.2 A student may request period(s) of interruption to their studies totalling no more than two years across the duration of the award. Where approved, the period(s) of interruption will be added to the student's original term of registration on the programme. The interruption will be reported to the CRDB.
- B.1.3 Students seeking periods of interruption that would result in an overall total of more than two years (including any periods of interruption already taken) must submit a claim to the Extenuating Circumstances Panel (ECP). Where the ECP accepts the student's claim of adverse circumstances as valid, it will so advise the CRDB, which will consider the student's request for interruption on that basis.
- B.1.4 A student's anniversary of enrolment will be recalculated according to the length of the period of interruption.

B.2 Students in Receipt of a Studentship

- B.2.1 Students in receipt of a stipend paid through a studentship awarded by the University of Lincoln may continue to be paid when a student takes maternity leave. The level and length of payment will be based on the current rate of statutory maternity pay, the level of the student's stipend payment and the length of time the student has been enrolled on their programme. If students do not return to their studentship after taking maternity leave, they may be required to pay back the stipend payments received during their maternity leave.

B.3 PhD (Prof)

B.3.1 Interruption During the Taught Component

- B.3.1.A Students who wish to interrupt during the taught component should contact the Student Support Centre for advice and guidance.
- B.3.1.B A student interrupting during the taught component will normally be expected to return to their programme at the same point in the following academic year. Where interruption took place at a point other than a semester break careful monitoring will be required by the programme team and academic judgement may be required when deciding on the relevant point of return to study.
- B.3.1.C A student returning after interruption can only enrol on modules not previously assessed or where reassessment has been agreed by the Board of Examiners. Prior completed assessments will be carried forward.
- B.3.1.D There can be no guarantee that changes to a programme will not be made during a student's period of interruption. Where changes have occurred the Board of Examiners, in consultation with Registry, will make appropriate arrangements to enable the student to complete the taught component of the programme.

Section C – Doctor of Philosophy by Published Work/Practice Portfolio

C.1 University of Lincoln Staff

- C.1.1 A member of staff of the University will be eligible to be considered as a candidate for the degree of Doctor of Philosophy on the basis of the submission of published work/practice portfolio provided they have:
- C.1.1.i Held an appointment in the University for a continuous period of at least one year at the time of submission and have proven evidence of publications/a body of work.
 - C.1.1.ii The study and research carried out by the candidate must have formed a significant contribution to the published work or field of work.
- C.1.2 The staff funding application process will be in accordance with the University's Programme of Study Funding Scheme. Staff should apply for funding when they have amassed the necessary published work/body of work.
- C.1.3 Staff funding applications will be considered by the relevant Panel with support from the relevant Head of College and a decision will be made on the basis of available budget and priorities and whether the application meets the admissions criteria 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 or practice portfolio.

C.2 Non-Staff Applications

- C.2.1 Non-staff applications for the degree of PhD by Published Work/Practice Portfolio will be considered in accordance with these Regulations.

C.3 Submission for the Degree of Doctor of Philosophy on the Basis of Published Work/Practice Portfolio

- C.3.1 The published work/practice portfolio submitted should 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/practice to which it makes an original contribution. The submission of published work will be accompanied by a commentary which establishes, in a way that can be assessed by oral examination, that the published work/practice portfolio constitutes a coherent body of work, and that the candidate fulfils all other requirements for the conferment of the degree of PhD.
- C.3.2 The submission will consist of a collection of published material including papers, chapters, monographs, or books. The publication of papers will 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 will normally have been published by established publishing houses that apply a peer review process or other recognised publishing media which are acceptable to the relevant College. The publications submitted will normally relate to work undertaken during a minimum period of three years.
- C.3.3 Work will 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 organisations such as

private companies, government departments or charities or for internal University purposes are not acceptable unless they have been published widely outside the organisation for which they were prepared.

- C.3.4 The candidate must submit a list of the published works/materials submitted and an accompanying commentary 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.3.5 The commentary will be up to 15,000 words in length and constitute a critical review stating: the aims and nature of the research, wider disciplinary perspectives, the inter-relationship between the material published and the main contribution and/or addition to knowledge of the works, and offering a critical appraisal of the work from a micro and macro perspective, to be undertaken to demonstrate that the candidate has subjected their work to scrutiny and review at the individual publication level and also within the wider boundaries of the specific discipline, so as to evidence the works as embedding a coherent programme of research, achieving a depth of scholarship and originality comparable to that required for the award of PhD by thesis.
- C.3.6 In the case of joint publications/projects the candidate must indicate clearly, in the list of published works submitted, the percentage share of the work attributable to the candidate. The candidate will be required to obtain signatures from each co-author and collaborator, certifying the candidate's share of the work, and these must be included as part of the submission.
- C.3.7 When sufficient publications/materials have been amassed, the candidate should apply for their programme. Staff candidates should apply for funding. Upon enrolment the candidate will be provided with an academic supervisor and given a maximum of 12 months registration from being notified that there is a *prima facie* case to submit three copies of their submission. Candidates will be expected to provide a draft of their commentary to their academic supervisor by the half way point of registration. Extensions and interruptions of studies will only be considered in exceptional circumstances. Withdrawal from the programme after registration may result in sponsored candidates being liable for any tuition fees paid on their behalf.
- C.4 **Examination for the Degree of Doctor of Philosophy on the Basis of Published Work/Practice Portfolio**
- C.4.1 The candidate's submission will be examined by two External Examiners and one Internal Examiner.
- C.4.2 The examination will take place in accordance with these Regulations. In addition, the External Examiners should take into consideration the extent, merit and quality of the work submitted. 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.
- C.5 **Fees**
- C.5.1 On registration a non-staff candidate will pay the requisite fee. Staff candidates not supported through the central funding process will also be required to pay the requisite fee.
- C.6 **Public Presentation**

C.6.1 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 must not, however, form part of the formal examination and will not contribute to the Examiners' decision on the candidate's performance.

C.7 Role of Internal Staff during the Examination

C.7.1 The academic supervisor may, at the request of the candidate, be present at (but will make no contribution to) the viva. In all cases the academic supervisor should be available to be consulted by the Examiners on the viva. The academic supervisor will have the right to confer with the examiners following the examination, and to be given an oral report on its outcome.

C.7.2 There should normally be no contact between the candidate and the Examiners before the viva to avoid any perception of bias or collusion.

C.8 Recommendations of the Examiners

C.8.1 Following the first submission and examination of a candidate, the Examiners may make recommendations in line with these Regulations.

C.9 Guidelines concerning the Submission of Published Work for the Degree of Doctor of Philosophy/Practice Portfolio

C.9.1 Arts, Humanities and Social Sciences

C.9.1.A Publications selected for submission by a candidate should demonstrate progressive development or coherence in research activity.

C.9.1.B The amount of research activity should be equivalent to that expected from a three-year full time PhD.

C.9.1.C Candidates would normally be expected to submit at least 5 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 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 the commissioning process or the level of critical appraisal of the work.

C.9.1.D Each paper should demonstrate incremental steps in research and the development of the research ideas.

C.9.1.E All items must have been published within a minimum of three years.

C.9.1.F Where the publications submitted have been jointly authored with external parties, 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.

C.9.1.G The commentary 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.

C.9.2 Science and Engineering

C.9.2.A The submission should normally comprise at least 5 original articles in peer reviewed journals and should represent a significant contribution to knowledge in the candidate's field.

C.9.2.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.9.2.C The accompanying commentary 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.

C.9.3 Health and Social Care

C.9.3.A The submission should normally comprise a collection of materials which may include papers, chapters, books, policy documents, educational programmes, service transformation projects, service evaluation and improvement projects. The materials should be publicly available. The portfolio submitted should normally relate to work undertaken during a minimum period of three years.

C.9.3.B The accompanying commentary should set out the proposed basis for the award of the degree and set the work carried out in its wider context. The commentary will constitute a critical review and include an abstract of the portfolio as a whole (including the key theme(s)), a summary of each of the materials submitted (including the aims and objectives of the work), an overview of the inter-relationship between the materials and how they sit within the broader discipline areas (including a substantive review of current literature), a critical reflection of the techniques used to conduct the work, a critical discussion of the impact of the projects in practice, a critical review of the original contribution the work makes to the field of practice and conclusions and recommendations for future work.