Code of Practice for Research Degree Students

Incorporating:

Research Degree Regulations
Research Degree Procedures
Guidance Notes for Examiners
Guidance Notes for Annual Review Panels
Regulations for Higher Doctorates

DE MONTFORT UNIVERSITY

2017

Code of Practice for Research Degree Students

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Code of Practice – Introduction

This code is issued in accordance with the Quality Assurance Agency UK Quality Code for Higher Education, Chapter B11: Research Degrees – June 2013.

De Montfort University aims by production of this Code to put in place effective arrangements to maintain appropriate academic standards and to enhance the quality of postgraduate research programmes.

All documentation in relation to the Code of Practice is readily available to students and staff through the University Graduate School web pages and in hard copy. These documents will be reviewed from time to time by Research Degrees Committee, which is a Standing Committee of the Academic Board of the University.

The academic authority for this Code of Practice is provided by the Academic Board of the University and is executed on its behalf by the Research Degrees Committee. The Research Degrees Committee will monitor the success of its postgraduate research programmes against appropriate internal and/or external indicators and targets.

Director of Student and Academic Services
De Montfort University

Research Degree Regulations

De Montfort University

2017

Research Degree Regulations

1. Introduction

1.1 These Regulations come into force on 1st October 2017, and their provisions replace all earlier Research Degree Regulations in force up to that date. These regulations shall apply to all research degree students still registered at this time and beyond.

1.2 The Regulations prescribe the conditions under which applicants are able to qualify for the award of the research degrees of Master by Research (MA/MSc), Master of Philosophy (MPhil), Doctor of Philosophy (PhD) and Professional Doctorates of De Montfort University.

a) students studying for these awards have a legal commitment to all relevant De Montfort University research degree student Regulations and Procedures;

b) research degree students will only be accepted into an environment that provides support for doing and learning about research and where high quality research is occurring;

c) research degree students will be registered in a subject area which has a critical mass of research activity within it;

d) sufficient facilities for the research project, including library and IT facilities will be available;

e) the award of the degree will be based on work conducted during a period of registration under an approved supervisory team, under such conditions as prescribed by the Regulations (except for students registered under Regulation 11.3).

1.3 The Degree of Master of Philosophy (MPhil) and the Degree of MA/MSc by Research

The degrees of MPhil and MA/MSc by Research are awarded to recognise the successful completion, under such conditions as are prescribed by Regulations, of a supervised programme of individual research, the results of which have been satisfactorily embodied in a thesis (together, under certain circumstances, with another form of presentation as defined in 1.8 below), and which:

a) demonstrate an understanding of research methods appropriate to the field of study; and

b) demonstrate critical investigation and evaluation of the topic of research.

The University adheres to the Framework for Higher Education Qualifications for England, Wales and Northern Ireland in describing the qualification outcomes and attributes for research degrees.

1.4 The Degree of Doctor of Philosophy (PhD)

The degree of PhD is awarded to recognise the successful completion, under such conditions as are prescribed by Regulations, of a supervised programme of individual research, the results of which have been satisfactorily embodied in a thesis (or other presentation as defined in 1.8 below), and which:

a) demonstrate an understanding of research methods appropriate to the field of study; and

b) demonstrate critical investigation and evaluation of the topic of research; and

c) constitute an independent and original contribution to knowledge; and

d) demonstrate the student's ability to undertake further research without supervision.

1.5 Professional Doctorates

A professional doctorate degree is awarded to recognise the successful completion, under such conditions as are prescribed by Regulations, of a programme of study which:

a) incorporates a substantial component which focuses upon appropriate research methods and provides instruction of a specialised vocational nature; and

b) includes a thesis component which demonstrates:

   i) an understanding of research methods appropriate to the vocational area of the named award; and

   ii) critical investigation and evaluation of the area of study; and

   iii) originality either in the development or application of knowledge.

1.6 Students enrolled at another Institution to study for a research degree are not eligible for admission, enrolment or to undertake the first project review for a research degree at De Montfort University, unless their enrolment elsewhere is terminated.

1.7 Except where the Research Degrees Committee Faculty Review Panel, see Procedure 7, has allowed otherwise at first project review stage, the thesis must be presented and defended in the English language. (See Regulation 11.2).

1.8 When permitted at the time of first project review the thesis may be augmented by the presentation of work relating to an exhibition, performance or other creative work; or the submission of published work, together with a substantial commentary. More detailed Regulations relating to these approaches are given in Regulation 11.

2. Admission Requirements and Processes

2.1 Students can be admitted for the following research degree programmes:

a) MPhil
b) MA /MSc by Research
c) Doctoral Researcher Programme (aiming for PhD)
d) PhD by Concurrent Publication
e) PhD by Published Works

2.2 An offer of admission to a programme of supervised research shall be linked to a specified research topic and to two named supervisors for the probationary period from enrolment. These can be changed at first project review. Research degree students will only be accepted into an environment that provides support for doing and learning about research and where high quality research is occurring.

2.3 Whilst any offer of admission can be made only by the Director of Student and Academic Services (or nominee), it must bear the recommendation of the relevant Faculty Head of Research Students or equivalent role (or nominee), who thereby undertakes to arrange the necessary facilities and supervision if the offer is accepted. Such recommendation must also make clear which aspects of the programme, if any, will be undertaken outside University premises.

An offer of admission for MPhil or PhD shall be made on fixed entry points agreed by the University. These are: 1st October; 1st January; 1st April. An offer for admission for MA or MSc by Research shall be made for the 1st October.

2.4 The maximum period of probation is six months for full-time students and twelve months for part-time students. For students following the MA/MSc by Research programme only, the maximum period of probation is three months for full-time and six months for part-time. Students whose probationary period has expired before first project review is approved by the Research Degrees Committee Faculty Review Panel, see Procedure 7, will be deemed as unsatisfactory and the University has the right to terminate the student's enrolment. Exceptionally application can be made to extend the probationary period. Applications should be made to the Director of the Graduate School.

2.5 In order to be admitted as a student for a research degree programme, an applicant shall normally:

a) possess a UK Honours degree with at least an upper second class honours, or an academic or professional qualification which the Research Degrees Committee Faculty Review Panel deems to be equivalent; and
b) demonstrate competence in the use of the English language. A minimum score of 6.5 in an International English Language Test Score (IELTS or equivalent) test is normally required. This includes a minimum score of 5.5 in each of the test components and shall have been taken not more than two years prior to entry.

Guidance on the equivalence of qualifications is available from Student and Academic Services.

2.6 Applicants without the normal qualifications outlined above will be considered for first project review by the Research Degrees Committee Faculty Review Panel, see Procedure 7, on the student's merits in relation to the nature of the proposed research programme.

2.7 A condition of admission for applicants without normal qualifications is the provision of at least two reference(s), concerning the applicant's academic ability and fitness to conduct research.

2.8 Applicants wishing to pursue a PhD by presentation of previously published works are subject to the same admission protocols and procedures but in addition they must submit their First Project Review form together with their formal application.

2.9 Students admitted onto the MA/MSc by Research cannot transfer to MPhil or PhD.

2.10 An applicant whose work forms part of a group project may be registered for a Research Degree, provided that the Research Degrees Committee Faculty Review Panel is satisfied that the applicant's part of the project is distinguishable for the purposes of assessment, and is appropriate for the award sought. In such a case, the application for admission must indicate clearly the individual's contribution and its relationship to the group project.

2.11 Where a student is seeking to transfer to De Montfort University from another institution, s/he will be required to complete the full application process as described in Chapter 2. As part of the admissions process the Faculty Head of Research Students or equivalent role and Head of School will consider the application in order to approve or reject the application.

Research conducted previously at another Higher Education Institution will be taken into account in assigning a transferring student to an appropriate pathway. As for all students, the application process will serve to confirm the availability of appropriate supervision and suitable technical and/or information resources

for continuation of the research. This process includes students transferring from another HEI in order to follow a supervisor newly appointed to DMU. At application stage, students should present a portfolio documenting and demonstrating their research progress to date, including copies of any official notification of progression milestones achieved at their previous institution. This will be assessed by the designated supervision team who will make a recommendation as to the appropriate entry pathway for the student, taking into account the achievements, timeliness and intended trajectory of the research. The Faculty Head of Research Students or equivalent role and Head of School will review this recommendation in approving an appropriate pathway for the student, ensuring satisfactory alignment between DMU's review and monitoring requirements and those met at the previous institution.

For students applying to the DMU Doctoral Researcher Programme, transfer will not normally be accepted where students have completed more than 24 months of full-time study or 48 months of part time study at another UK HEI. Students whose final award aim is MPhil will not normally be considered for transfer. Following enrolment and irrespective of any prior period of research conducted, the student must complete the First Project Review process as described in Chapter 4 and the student will also be required to complete the Ethical Review form designated by their associated Faculty. Students will not normally be exempted from the Formal Review Process as described in Chapter 13; as part of the transfer process outline above the Faculty Head of Research Students or equivalent role (or deputy) can receive requests for exemption from formal review and following a review of the research conducted, may exceptionally exempt the student from formal review. This decision must be authorised by the Director of the Graduate School.

2.12 Applicants who do not have Home/EU status and who are proposing to conduct their research at a remote location outside the UK are eligible for consideration for admission and subsequent registration on the International PhD programme.

a) in addition to the Regulation 5 regarding the appointment of the supervisory team, only persons who are members of academic staff of the University with relevant research expertise for the applicant's research programme are eligible to be First and Second supervisors. In addition, normally a local advisor shall be nominated. The relevant Research Degrees Committee Faculty Review Panel will require a written case to be made for the absence from the supervisory team of a local advisor;

b) there is evidence that appropriate and adequate facilities are available for the student to conduct their research in the remote location and within the University;

c) the arrangements proposed for supervision must enable frequent and substantial contact between the student and the UK-based supervisor(s); these arrangements should be approved during completion of a Study Protocol

document which must be submitted to the Graduate School within 3 months of enrolment for Full Time students and 6 months for Part Time; this contact should be by the most appropriate means such as face-to-face and/or email and/or video-conferencing; the student should normally prepare for and undergo the final oral examination at the University;

d) student and supervisor must meet together at least once per year, normally at the DMU Campus; all students must attend the DMU campus at least once prior to submission of their examinable thesis;

e) students on the International PhD Programme cannot attend the DMU Leicester campus for more than 12 weeks in any one year; in this instance they will be transferred to Full Time based in the UK.

2.13 The University prohibits direct teaching, examining or supervising of one family member by another. Whilst there is an expectation that the member of staff will ensure the University is aware of any such cases, students also have a responsibility to inform their Faculty Head of Research Students or equivalent role or Faculty Associate Dean if this situation arises.

If a student is aware that any member of their family is, or becomes, a member of Professional Services (i.e. non-academic) staff they must inform the Director of Student and Academic Services who will ensure appropriate measures are in place to protect confidentiality and integrity of data.

2.14 Faculties must ensure that their procedures for the selection and admission of research students show the ability to demonstrate that:

a) admissions procedures are clear and consistently applied;

b) only appropriately qualified and/or prepared applicants are admitted after a scrutiny of the appropriate references;

c) admissions decisions involve the judgement of more than one of the institution's staff with relevant expertise and appropriate training;

d) admissions procedures promote equality of opportunity;

e) appropriate supervision in the research area applying to a prospective candidate is available;

f) language proficiency has been appropriately assessed and, if not yet at the required Institutional level, admission will be conditional on reaching that level;

g) applicants are interviewed and that appropriate measures and records must be put in place for overseas students who may be unable to attend an interview at the institution. The Faculty Decision Form must be completed and returned to

the Graduate School by the academic responsible for interviewing the applicant.

h) confidentiality has been maintained through the process;

i) the applicant is aware of facilities and space to be made available to them;

j) the applicant is aware of the choice of supervisory team, nature of the supervisory arrangements and 'contract', and that the supervisors have attended the Certificate in Research Supervision course;

k) the expectations of the applicant in relation to academic and social conduct and performance are clear;

l) the applicant is aware of the requirements and availability of training;

m) applicants have been made aware of any relevant institutional funds/bursaries to support students;

n) the Institution can be assured that the applicant has sufficient financial support to complete the Research Degree Programme.

These criteria must be capable of being demonstrated at audit by appropriate Faculty records. The procedures are to be applied to all prospective research students including those who are self-funded.

2.15 An applicant who has been granted admission becomes a student.

2.16 If an applicant submits a research proposal which the Faculty considers to be 'sensitive', under the definitions of the University's policy for Conducting Sensitive Research, then the applicant and research supervisor will be required to comply with the admissions procedures outlined in the policy. No offer of admission can be processed without full adherence to the Conducting Sensitive Research policy. The policy for Conducting Sensitive Research can be located on the University's research website pages.

3. Enrolment and the Payment of Tuition Fees

3.1 An applicant cannot commence his/her programme of study until they have enrolled as a student studying for a Research Degree. He/she will then **automatically** be re-enrolled at the start of each academic session throughout the programme. This means that, unless good reason has been provided for registration to be interrupted or terminated, fees will continue to be charged. Students intending to register for MPhil or PhD and based in the UK are required to attend the Induction Programme within six months of enrolment and must refer to the Researcher Development Programme Handbook provided by the Graduate School for information regarding the completion of other relevant compulsory courses.

Students intending to register for MA or MSc by Research and based in the UK are required to attend the Faculty Induction Programme within three months of enrolment and must refer to their Faculty Research Training Handbook provided by the Graduate School.

3.2 Students will normally be expected to enrol at one of the fixed entry points outlined in 2.3 above. Continued enrolment is subject to the payment of annual fees, their level to be defined by the University.

3.3 Students who enrol during an academic session (i.e. January or April) are liable to pay a proportion of the fee for the whole session. In subsequent sessions, they shall be liable for the full annual fee.

3.4 There may be an opportunity to pay by instalments and further information can be obtained from the Finance Office or Student and Academic Services.

3.5 At the end of the student's three year registration period (for full time students) or five year registration period (for part time students), excluding interruptions, he/she will be automatically placed into a 12 month period during which no fees are paid. MA/MSc by Research students are entitled to a three month fee free period following one year of registration (for full time students) or two years of registration (for part time students). Students who enrolled from 1st October 2017 onwards will have an administration fee associated with their fee free period. Should a student fail to submit his/her examinable thesis after the fee free period ends, and an extension has been agreed, liability for a continuation fee will apply until the thesis is submitted to the Graduate School for examination. If Regulation 17.3 is invoked the student will also be liable to pay continuation fees.

3.6 If the outcome of the viva voce examination is that the student be permitted to re-submit for the degree sought within a period not exceeding 12 months, the student will be liable to pay continuation fees until the revised thesis is submitted for examination to the Graduate School.

3.7 Probationary Students wishing to interrupt their studies during the probationary period following enrolment should complete the correct form. Interruptions will require the approval of the First Supervisor, the Faculty Head of Research Students or equivalent role and the Director of the Graduate School.

3.8 Research degree students are required to use their university email address (e.g. P00000076@my365.dmu.ac.uk). This will be the main form of communication from the Graduate School and Faculties. All information will be sent to this account and/or posted on Blackboard, therefore students will be required to check this account regularly. Students who persistently do not respond to formal communications from the Graduate School by the specified deadline may be at risk of termination of registration.

4. Probation, First Project Review, Confidentiality, IPR

4.1 A student shall be enrolled on a probationary basis for a research degree with the aim of registering for MA/MSc by Research, MPhil or PhD and will undertake a supervised programme of research and/or any other studies, which may be required.

a) during that time the student will be supervised by the first and second supervisor allocated to them at the time of admission unless a change in probationary supervision has been authorised by the Faculty Head of Research Students or equivalent role (or nominee). The student's status shall remain probationary until the appropriate Research Degrees Committee Faculty Review Panel, see Procedure 7, has approved first project review. First project review is approved by the appropriate Faculty Head of Research Students or equivalent role (or nominee);

b) probationary students intending to study for MPhil or PhD shall carry out a Training Needs Analysis in conjunction with their probationary supervisory team. Probationary students intending to study for MA/MSc by Research will complete a Training Needs Statement in conjunction with their probationary supervisory team. Documentation must be completed within three months of enrolment for full-time students and six months for a part-time student. Upon completion the Training Needs Analysis/Statement forms shall be returned to the Graduate School to determine the student's researcher development programme profile;

c) probationary students intending to study for MPhil or PhD must attend an induction component of the Researcher Development Programme at which the nature and operation of the Personal Development Planning (PDP) process will be outlined. Probationary students based overseas should refer to their Study Protocol document for guidance on completing the Researcher Development Programme. Students are normally expected to elect to participate in the ensuing stages of the PDP process which take place across the full duration of their project.

d) the compulsory elements of the Researcher Development Programme will be mandatory for students based overseas who have enrolled from October 2014; the courses will be available through the University's online training resource.

4.2 As stated in Regulation 2.4, application for approval of first project review **must** be made to the Research Degrees Committee Faculty Review Panel, see Procedure 7, within six months of enrolment for full-time students and within twelve months of enrolment for part-time students. Those proposing to study for the MA/MSc by Research must complete their applications within three months of enrolment for full-time students and within 6 months of enrolment for part-time students.

4.3 If an application for First Project Review is not made jointly by the probationary student and supervision team to the relevant Research Degrees Committee Faculty

Review Panel, see Procedure 7, within the period specified above the University has the right to terminate the probationary enrolment. Unless a case for extending the probationary period is approved by the relevant Faculty Head of Research Students or equivalent role.

4.4 An Application to First Project Review cannot be considered by a Research Degrees Committee Faculty Review Panel, see Procedure 7, until the enrolment procedure has been completed.

4.5 Applications will be returned by the Graduate School to the supervisor if there are omissions or they contain incorrect information.

4.6 Exceptionally, the thesis may be classified as confidential for a period of up to three years from the conferment date. Approval of such restriction must, whenever possible, be sought at the time of initial first project review but approval at a later stage is possible if change in circumstances or research direction dictate such a need.

Applications must give precise and relevant reasons for seeking restriction of access. The Research Degrees Committee Faculty Review Panel will normally only approve an application for confidentiality in order to enable a patent application or similar protection of Intellectual Property to be lodged or to protect commercially sensitive material.

4.7 The copyright and other intellectual property rights in relation to theses and other work prepared and submitted by students in the course of their studies shall belong to the University, except where specifically agreed otherwise by the University in writing. However, nothing in the Regulations shall be considered to be a waiver of the moral rights of the students.

Material such as laboratory notebooks, computer coding and studio maquettes produced as a necessary part of the project remain the property of the University and must be passed to the first supervisor by the end of the examination procedures and before graduation. If appropriate, the supervisor may authorise, on behalf of the University the production of copies of such material for the student's subsequent use.

Unless approval for restriction is given, the thesis will be lodged electronically with the De Montfort University Library. Through the British Library Electronic Theses On-line System (EThOS) information is automatically passed onto the British Library.

For information relating to Intellectual Property Rights, refer to the General Regulations and Procedures affecting students.

4.8 Ethical Review shall be an obligatory part of the first project review process for all research degree students:

a) all research undertaken towards the completion of a research degree at De Montfort University should be conducted:

   i) within the law
   ii) with academic integrity
   iii) in accord with a relevant code of research ethics

b) students, staff, research students and their supervisor must seek ethical or statutory approval for research involving human or animal subjects, lasers, biological and/or radiological hazards prior to commencement of work that falls within such approvals. Details of procedures for these are included in 'The Research Degree Procedures of De Montfort University';

c) responsibilities of students are detailed below:

   i) research degree students have personal responsibility for the maintenance of high standards of ethics in the conduct of their research;

   ii) research degree students must familiarize themselves with a relevant code of research ethics and conduct their enquiry in accord with the recommendations and requirements of that code;

   iii) where research is given approval by a relevant Research Ethics Committee of De Montfort University, this does not absolve the student from personal responsibility with regard to the continued observance of high standards of research ethics throughout the duration of the research;

   iv) codes of ethics do not provide researchers with rules that cover all circumstances. Sometimes decisions need to be made that involve matters of academic, professional and moral judgement. In such circumstances, there needs to be a conscious consideration of the issues and explicit justification for the decisions taken.

d) responsibilities of the University with regard to the ethical approval of research undertaken as part of a research degree are specified in Section 3 of the University's Research Degrees Procedures.

4.9 On receipt and consideration of an application for first project review, the Research Degrees Committee Faculty Review Panel, see Procedure 7, shall seek to satisfy itself that:

a) Group A Generic training courses and submission of the Training Needs Analysis have been satisfactorily completed and that all stages of the

programme will be undertaken, including faculty based elements;

b) the area of study can be investigated to the depth required to obtain the degree which the student seeks;

c) it might reasonably be expected that the work can be completed within the designated time scale;

d) the necessary resources (e.g. library, computing, laboratory facilities, technical assistance) will be available;

e) any requested confidentiality will be considered;

f) there is provision for a supervisory team consisting of at least two members of academic staff, one of who shall be designated as the First Supervisor with overall responsibility for the student and that this can be maintained throughout the research period;

g) at least two members of the supervision team should be demonstrably research active academics with relevant knowledge and skills to supervise;

h) the proposed working title does not include acronyms;

i) for students on the Doctoral Researcher Programme registration, an indication should be given of the extent of progress expected by the time the student submits their formal review.

4.10 The Research Degrees Committee Faculty Review Panel shall:

a) confirm first project review; or

b) confirm the first project review on condition that certain requirements as requested by the Research Degrees Committee Faculty Review Panel, see Procedure 7, are met. If conditions of first project review are not met within the specified deadline, this may lead to termination of registration; or

c) defer the application; refer back to the First Supervisor and student for revision and re-submission, during which time the student continues under probation; or

d) dismiss the application, in which case the first project review of the student shall not be approved, and the student's probationary enrolment shall end. If the decision to dismiss the application is on academic grounds the provisions of Regulation 20 below shall apply. Dismissal on academic grounds will require evidence of monitoring as detailed in Regulation 6.2 (m) below, including evidence of due warnings to the student.

Conditions noted in the audit shall, whenever possible, be addressed within one month.

4.11 Probationary students for first project review without the normal qualifications outlined in Regulation 2.5 and 2.6 will be considered by the Research Degrees Committee Faculty Review Panel, see Procedure 7, on their merits in relation to the nature of the proposed research programme. Professional experience or publications, written reports or other appropriate evidence of accomplishment will be taken into consideration. As a condition of first project review, the Research Degrees Committee Faculty Review Panel, see Procedure 7, may require such a probationary student to pass a specified examination or test and/or complete a probationary period of set studies involving formal assessment.

4.12 The Misconduct in Research Policy investigates allegations of research misconduct at the University. The procedure covers anyone conducting research under the auspices of DMU, including research degree students. The policy and investigation procedure can be found on the University's research webpages.

The Guidelines for Good Research Practice provide information on the standards researchers are expected to adhere to. Additionally, the Guidelines outline the responsibilities DMU has to support best practice.

5. Nomination and Appointment of Supervisors

5.1 When a student is admitted for a research degree and enters the probationary period, the Faculty Head of Research Students or equivalent role (or nominee) shall approve the nomination of two supervisors. Once supervisory arrangements have been approved by the Research Degrees Committee Faculty Review Panel, see Procedure 7, at first project review, any future proposed changes to supervisory arrangements shall be submitted by the First Supervisor (or nominee) for approval by the Faculty Head of Research Students or equivalent role (or nominee).

5.2 The University will require a supervisory team to have a combined experience of supervising at least one research degree student to successful completion. In the case of a PhD, one of the supervisors must normally have successfully supervised at PhD level.

5.3 All decisions of the Research Degrees Committee Faculty Review Panel, see Procedure 7, are sent to student and the First Supervisor.

5.4 A person who is registered for a research degree is normally ineligible to act as a First Supervisor for another research degree student, but can act as a second supervisor or advisor. This restriction does not apply to staff registered for PhD by Published Works.

5.5 Only persons who are members of academic staff of the University are eligible for appointment as first supervisors.

5.6 In addition to the supervisors, an adviser or advisers may be proposed, in order to, for example, contribute some specialised knowledge or provide a link with an external organisation.

5.7 A member of academic staff should normally be supervisor to no more than 7 FTEs and 12 students for a research degree at any one time. In exceptional circumstances a supervisor may submit a request to supervise up to 10 FTEs and 15 students. The application can be made with the approval of the Dean of Faculty for an individual to take on an additional supervisory load for a specified period.

The calculation for FTEs is based on student mode of study and supervisory role as follows: FT First Supervision = 1 FTE, PT First Supervision = 0.5 FTE, FT Second Supervision = 0.5 FTE, PT Second Supervision = 0.25 FTE.

5.8 All nominated supervisors must have attended the Certificate in Research Supervision (CRS) course parts 1, 2 and 3. Experienced supervisors who have successfully supervised at least one student to PhD level may apply for exemption from CRS part 1 by completing the Self-Certification of Supervision form which can be obtained from the Graduate School. A CRS Update course will be available for all supervisors who have not attended the full CRS within the last three years. Supervisors will be expected to attend this course every three years. Any supervisor who exceeds four years since last attending the CRS Update course will not be entitled to accept any new research students for supervision.

5.9 The University prohibits direct teaching, examining or supervising of one family member by another. Whilst there is an expectation that the member of staff will ensure the University is aware of any such cases, students also have a responsibility to inform their Faculty Head of Research Students or equivalent role or Faculty Associate Dean if this situation arises.

If a student is aware that any member of their family is, or becomes, a member of Professional Services (i.e. non-academic) staff they must inform the Director of Student and Academic Services who will ensure appropriate measures are in place to protect confidentiality and integrity of data.

6. Responsibilities of Supervisors and of Students

6.1 The principal responsibilities of the Supervisors are:

a) to read and comply with the current versions of the *Research Degree Regulations and the Research Degree Procedures of De Montfort University* and such University documents as are relevant to the work including those dealing with ethics, intellectual property rights and health and safety. They must ensure that the student is aware of regulations which affect his/her conduct and/or work;

b) to ensure that a student on initial enrolment, i.e. during his/her probationary period is introduced to staff and the local environment; local facilities, both technical and social; other University facilities such as the library, the Student's Union, the Health Centre and refectories and is made aware of safety procedures and fire evacuation routes;

c) to give assistance to students in defining and planning the research topic and the associated timetable. Be part of the probationary supervisory team which undertakes the Training Needs Analysis with the student within three months of enrolment for full-time probationary students and six months for a part-time probationary student. This will help determine the content of the individual student's training programme;

   Supervisors are also expected to reinforce advice and guidance on the nature of research evident in the Researcher Development Programme, including: research design and planning; research methods, literature searches, sources and referencing; the presentation of academic work; ethical and legal matters including plagiarism and intellectual property rights;

d) to ensure that the student attends and fulfils any requirements in terms of the Generic and Faculty Researcher Development Programme;

e) to assist students in the preparation of First Project Review form for a Research Degree on myResearch;

f) to maintain regular contact through formal, scheduled meetings held with students which should be set at the start of each academic year. (See Regulation 6.4 below). The whole supervision team should meet with the student at least once a year;

g) to attend the University supervisor-training course leading to the Certificate in Research Supervision. Details of this can be gained from the Graduate School. It is expected that all research supervisors in the University will have attended the course. No supervision team will be approved unless at least one member has successfully completed the course. Also members should attend the CRS Update course when required.

6.2 The distinct responsibilities of the First Supervisor principally are:

a) to make certain that all the necessary documentation and procedures concerning the approval of successive stages of the student's progress from registration to the final degree are dealt with. All documentation needs to be accurate and complete. The First Supervisor must confirm that it is and ensure that it is submitted to the Graduate School in good time for onward transmission to the Research Degrees Committee Faculty Review Panel;

b) to liaise with the student to ensure that the Graduate School is kept informed of any changes in a student's enrolment details;

c) to take overall responsibility for providing academic leadership for the student's programme of research work via constructive criticism at the appropriate stages in the work, with an overall objective of attempting to inculcate progressively greater independence in the student as the project progresses. The First Supervisor must ensure that any weaknesses are drawn to the student's attention in a timely manner and that the student is given the opportunity to take remedial action with guidance. See 8.2 below;

   Where a student has to make revisions to a formal review report it should be recognised that an intensive period of supervision may be required to ensure prompt submission of the revised document.

d) prior to admission, to liaise with the Faculty staff member responsible for the commitment of funds to research projects to ensure that appropriate funding is available for the research project;

e) keep the external sponsors of a research student informed of the progress made by the student on his/her project on a regular basis as requested by the sponsor or the Graduate School;

f) to take an active role in introducing the student not only to fellow workers and staff in the institution but also to external researchers in the field and to the appropriate academic bodies and societies;

g) to ensure the continuity of supervision of his/her students. This will include co-ordinating the contributions to the supervision by Second Supervisors and Advisors. To make alternative arrangements if any member of the supervisory team is unavailable for a significant period of time;

h) to maintain regular and appropriately frequent contact with the student. This should be both by an established schedule of formal meetings and via ad hoc and informal interactions. The scheduled meetings must be largely free of interruptions and of sufficient duration to allow for detailed discussion of the student's work. Their frequency should be tailored to suit the current stage of the research programme but normally be once per month for full-time students and once every two months for part-time students;

i) there shall be a formal Annual Review Panel held to monitor the progress of the student on his/her research and to monitor training needs. This will be organised by the First Supervisor (or nominee). Please refer to the 'Guidance Notes for the Annual Review Panel';

j) to seek independent advice, as appropriate, from the Faculty Head of Research Students or equivalent role or Director of the Graduate School on supervisory

issues. This is likely to be especially relevant where the supervisor has concerns about a student's ability or application to the Research programme;

k) to ensure the student makes notes of scheduled formal meetings via the 'Progress Report' form. This process must be completed via myResearch. These will contribute to the monitoring and assessing of a student's progress in relation to the agreed schedule of work. It is also to be expected that Second Supervisors would contribute to these scheduled meetings on a regular basis to ensure that Second Supervisors provide support services as appropriate. A meeting of the whole supervision team should take place at least once a year;

l) to ensure that the student is aware of the need to exercise probity and conduct his/her research according to ethical principles, and of the implications of research misconduct;

m) to make the student aware of any unsatisfactory work or progress and as appropriate to suggest such action as might be taken on a remedial basis;

n) to ensure the participation of their students in internal research seminars. This will include the presentation to research colleagues of their current research findings;

o) to encourage students to submit papers for publication when appropriate parts of the research are completed;

p) to keep the student informed of the necessary completion dates of various stages of the work particularly, if applicable, the formal review, in order to ensure timely completion;

q) to provide relevant advice for students whose first language is not English. This should include arranging a referral to appropriate support services, so that the student can continue to improve his/her spoken English throughout the programme in order to prepare and defend the thesis effectively in English;

r) to comment on the material in the final draft of the thesis within two months, unless good reasons are put forward to the Chair of the Research Degrees Committee for a longer period, giving advice on its suitability for submission. Guidance on preparation for the oral examination must be given and the desirability of a practice examination discussed with the student;

s) to co-ordinate the examination process (with delegation to the Second supervisor where necessary) as follows:

    i) to complete the "Exam Arrangements" form on myResearch three months prior to the submission of the thesis and to submit the form to the Graduate School for approval by the relevant Faculty Head of Research Students or equivalent role and the Director of the Graduate School;

ii) to inform the examination team of their nomination and subsequent approval;

iii) normally, if the student requests, to hold a mock viva. This is to be organised by the supervisor(s);

iv) to make the administrative arrangements for the oral examination. This involves consulting the external and internal examiners and independent chair, as appropriate, notifying all concerned of the date, time and place of the oral examination and attending the examination to answer questions unless the student has expressed a wish to the contrary;

v) to complete Section B of the "master copy" of the Examiners Report Form and to pass this to the internal examiner immediately before the examination. The report must provide contextual information on the student's work, e.g. mentioning any technical problems experienced during the research or any personal difficulties faced by the student;

vi) following an examination where examiners require minor corrections or major revisions to be made to the thesis, to obtain details of these from the examiners and to pass them on to the student. The 'Statement of Thesis Deficiencies' or the 'Statement of Reasons for Failure' within myResearch should be done as soon as possible after the examination is concluded and **definitely within 20 days of the examination.**

t) to enable the student to comment on the choice of examiners

6.3 The principal responsibilities of the student are:

a) to study the current versions of the *Research Degree Regulations and the Research Degree Procedures of De Montfort University* and such University documents as are relevant to his/her work including those dealing with ethics, intellectual property rights and health and safety. Students must comply with these documents;

b) as soon as possible after enrolment to discuss and agree with his/her First and Second Supervisors (who are allocated to the student by the Dean of Faculty or nominee, subject to approval by the Research Degrees Committee Faculty Review Panel, see Procedure 7, on first project review) the following aspects of his/her work:

i) the general area and specific topic or focus of the proposed work and its aims and objectives;

ii) the schedule of work and associated broad timetable, taking into account holidays and any proposed times of absence from the institution. In particular paying attention to the timing of the formal review in line with

Regulation 13;

iii) the methodology to be employed for the work recognising the need for this to be kept under review as the project proceeds;

iv) the attendance at the Generic and Faculty Researcher Development Programme and completion of the Training Needs Analysis/Statement within three months of enrolment (six months for part-time students);

v) the broad programme of attendance required at internal seminars as well as external conferences, which are relevant to the area of work;

vi) the constitution of the supervisory team for the research degree programme, identifying the First Supervisor, Second Supervisor(s) and any Advisors;

vii) the completion of the First Project Review form for a Research Degree on myResearch within the time stipulated in the regulations.

c) to inform the University Graduate School of any alterations or amendments to the enrolment or first project review details in consultation with the First Supervisor;

d) to ensure that the institution through the University Graduate School and First Supervisor is able to make contact with him/her when he /she is not on campus;

e) to take ultimate responsibility for his/her research activity and candidacy for the degree and to appreciate that this will require a commitment to give sufficient time and effort to the research programme until it is completed. The student must maintain the progress of the work in accordance with the stages agreed with supervisors, including, in particular, the presentation of written material as required in sufficient time to allow for comments and discussion before proceeding to the next stage. This will include providing reports on his/her work as required;

f) to work to the highest professional and ethical standards, seeking guidance from ethical codes if appropriate via the First Supervisor (Regulation 6.2 (l);

g) to have regular interactions with the Supervisors (especially with the First Supervisor) throughout the programme of work, having established at the outset a schedule of formal meetings. The frequency of these should be in accord with the stipulated University minimum values (normally at least once per month for full-time students and at least once every two months for part-time students). They should heed the advice and any matters which arise from such meetings and accept the importance of being frank and honest about perceived difficulties as and when they occur. One of the objectives of such meetings is to prevent more serious problems from arising later in the research

programme. Students must therefore take the initiative in raising problems or difficulties, however elementary they seem.

Student and supervisors will also be in contact via ad hoc and informal discussions as the need arises;

h) maintain detailed, full record of their academic progress via the regular submission of 'Progress Reports'. It is a requirement that full-time students submit such reports monthly and part-time students at least every other month. This process must be completed via myResearch. Supervisors will require these records as part of their monitoring of the student's progress. The University Graduate School, the Home Office and any funding body can require to see such records.

   Students must continue to submit progress reports at all times until the submission of their thesis and when in the post-viva corrections stage. The Graduate School monitors the submission of regular progress reports. Any full-time student who has not submitted a progress report for 3 consecutive months and any part-time student who has not submitted a progress report for 5 consecutive months will be deemed non-compliant and persistent non-compliance of progress report submission may lead to the termination of registration.

i) full-time students are expected to undertake a minimum of at least 35 hours of study per week throughout the year. Part-time students are expected to undertake 12 hours. Students are normally not expected to take more than eight weeks leave each year (including statutory holidays and the period when the University is closed over Christmas & New Year). You are expected to schedule leave so that it does not conflict with your research. All leave should be notified to a member of your supervisory team;

j) if applicable, to complete the *Formal Progression within the Doctoral Researcher Programme*, at the appropriate time and the formal review documentation on myResearch prepared in accordance with the regulations and in consultation with the First Supervisor;

k) to decide the time for the submission of the thesis for examination in consultation with the First Supervisor within the time stipulated by the regulations;

l) to pass to the first supervisor by the end of the examination procedures and before graduation, material such as laboratory notebooks, computer coding and studio maquettes produced as a necessary part of the project, which remain the property of the Institution. If appropriate, the supervisor may authorise, on behalf of the University the production of copies of such material for the student's subsequent use.

6.4 Progress meetings between Research students and supervisors

a) research students and their supervisors must discuss their work regularly as an essential part of the teaching and learning contract between the student and the University;

b) research supervisors must be able to show evidence that not only have regular progress meetings taken place, but also that the main points of discussion have identified the present stage of a student's research programme and advice has been given upon how to proceed.

Progress reports are still required when students are in the fee free completion period of their research and up to submission of their thesis and when in the post-viva corrections stage. The Graduate School monitors the submission of regular progress reports. Persistent non-compliance of progress report submission may lead to the termination of registration.

The progress report form identifies the important parameters for such discussion. Such formal discussions should occur normally at intervals no longer than one month for full-time research students and normally no longer than two months for part-time students.

6.5 A progress report must be completed by the student and signed off by a member of the Supervisory Team. The Supervisory has an opportunity to amend/update the record. This process must be completed via myResearch.

The Faculty Head of Research Students or equivalent role will review the progress of the research students and check that regular discussions between supervisors and their students have been taking place.

7. Lengths of Registration and Maximum Periods of Time Before Submission

7.1 The minimum and maximum periods of registration, shown both in months and calendar years, are normally as follows:

	Minimum	Maximum
MPhil		
Full-time	12 months (1 year)	24 months (2 years)
Part-time	24 months (2 years)	48 months (4 years)
PhD (via formal review route)		
Full-time	36 months (3 years)	48 months (4 years)
Part-time	48 months (4 years)	72 months (6 years)
PhD by Concurrent Publication		
Full-time	36 months (3 years)	48 months (4 years)
Part-time	48 months (4 years)	72 months (6 years)
PhD by Published Works		
Part-time	12 months (1 year)	24 months (2 years)
MA/MSc by Research		
Full-time	12 months (1 year)	15 months (1 ¼ years)
Part-time	24 months (2 years)	30 months (2 ½ years)

Extensions beyond the maximum period are solely at the discretion of the Faculty Head of Research Students or equivalent role (or nominee). Application for an extension must be made to the Panel, on myResearch and with the support of the student's First Supervisor, **before** the approved period of registration has expired.

Approved interruptions will be taken into account when a student submits an Extension to Period of Registration form on myResearch.

When submitting an Extension to Period of Registration form on myResearch, the student must produce a thesis outline agreed with the supervisor and can present such evidence to represent his/her case. An interview will be held, either face to face, or over the telephone, with an experienced internal assessor, appointed by the Faculty Head of Research Students or equivalent role. The Faculty Head of Research Students or equivalent role will forward the recommendation to the Director of the Graduate School for approval.

The internal assessor will assess the application on the following criteria:

a) Substantial progress already made with respect to an agreed thesis outline;
b) Whether the work is still timely;
c) Availability of time and resources to complete the work;

d) Whether there has been a significant disruption of studies sufficient to warrant the extension requested, for example:

e) Supporting written evidence will normally be provided, for example:

- Accidents (accompanied by a medical certificate).
- Death of a close relative (accompanied by a death certificate).
- Ill health (of the student, accompanied by a medical note).
- Serious ill health of a close relative (accompanied by a medical certificate, especially where the student has to assume the role of carer).
- Unexpected events e.g. theft (accompanied by a police report), equipment not being delivered or failing equipment.
- Parental leave (the student should make a request before the leave is due to begin).
- Problems beyond the control of the student (e.g. problems originating in the school, such as the supervisor leaving the university).

Examples which are unlikely to lead to agreement on extension

- Where a student has been registered on a full-time basis and is making a request on the basis of "pressures of work" in connection with employment.
- Where the request is based on the grounds that the student has got married/honeymoon period. This should normally be taken from the student's annual leave entitlement.
- Where there is no clear relationship between the amount of extra time being requested and the problem being encountered by the student.

7.2 Submissions after the approved period of registration are not permitted unless with the approval of the Faculty Head of Research Students or equivalent role on exceptional grounds.

7.3 Students exceeding a period of study longer than six years from the initial date of registration for full-time students and eight years from registration for part-time students may do so only in exceptional circumstances and with the express approval of the Faculty Head of Research Students or equivalent role. Applications for such exceptions will only be considered if a case is made six months before the last extension has expired.

These periods of time will not be changed by introduction of an interruption of Registration under Regulation 9.

8. Continuation and Termination of Registration

8.1 Continued registration shall be subject to annual monitoring see Regulation 12.

8.2 If a supervisor considers that a research student's performance or progress is unsatisfactory the concerns should be specified in writing to the student normally using the appropriate 'Progress Report ' form.

A student who is notified of unsatisfactory performance or progress has the right to

seek advice from the Faculty Head of Research Students or equivalent role.

Supervision of the research should continue following the notification.

If a supervisor considers that a student's performance or progress continues to be unsatisfactory, action may be taken to terminate the registration of the student. However, the action to terminate registration may only be taken after a period of time that allows the student to remedy the specified problems. In the case of full-time students, any action to terminate registration must be taken no sooner than two months and no later than six months following the formal notification of unsatisfactory performance or progress. For part-time students any action to terminate registration must be taken no sooner than six months and no later than twelve months following the formal notification of unsatisfactory progress.

If termination is chosen as the action to be taken, the appropriate form should be used. The final decision to terminate will be taken by the Director of the Graduate School (or nominee) upon receipt of the necessary signatures.

If the registration of a student is terminated under this provision, the Graduate School will notify the student in writing of his/her termination of registration from a certain date. The formal regulations concerning what to do if a student wishes to appeal against a decision to terminate his/her registration are contained in chapter eight of the General Regulations and Procedures Affecting Students which are available on the University's Academic Support Office web pages. A student appeal form must be submitted to the Student Appeals and Conduct Officer within 21 calendar days of the date of the letter from the Graduate School.

8.3 A student can request withdrawal from the programme at any time. The Panel will not consider retrospective withdrawals. Students will be subject to an exit interview which will normally be carried out by the First Supervisor. The Graduate School will ensure that relevant departments within the University are informed so that an adjustment can be made to the fees, where relevant.

8.4 A withdrawal application will not be accepted in the instance that a student is suspected of committing an Academic Offence. In such circumstances the University shall proceed as outlined in the General Student Regulations'.

9. Interruption of Registration

Where a student is prevented from carrying out all aspects of the research, by a good cause, he/she can apply for his/her registration to be interrupted. Because the approved registration period exceeds the expected duration, short interruptions are not necessary and will not be granted; short breaks due to illness will not warrant the granting of a formal interruption.

Applications must be made to the Faculty Head of Research Students or equivalent role (or nominee), using the appropriate form on myResearch and with the authority of the

First Supervisor (or nominee). The application shall be considered which may grant an interruption of study normally for not less than six months or more than one year in the first instance. The Faculty Head of Research Students or equivalent role, or nominee, interviews the student, if necessary, and forwards a recommendation to the Director of Graduate School for approval.

The application will be assessed as to whether there has been a significant disruption of studies sufficient to warrant the interruption requested,

Supporting written evidence will normally be provided, for example:

- Accidents (accompanied by a medical certificate).
- Death of a close relative (accompanied by a death certificate).
- Ill health (of the student, accompanied by a medical note).
- Serious ill health of a close relative (accompanied by a medical certificate, especially where the student has to assume the role of carer).
- Unexpected events e.g. theft (accompanied by a police report), equipment not being delivered or failing equipment.
- Parental leave (the student should make a request before the leave is due to begin).

The Panel will not consider retrospective interruptions. Exceptionally, a retrospective interruption may be granted by either the Director of the Graduate School or nominee.

Fees are not payable during an interruption of registration because it is assumed that resources, such as library study and/or lending access and access to the supervision team are not being used. If supervision continues, then the student status reverts to active fee paying.

If interruption of registration is approved, the Graduate School will notify relevant departments within the University to ensure that your enrolment is also interrupted for the same period. An extension of an equal duration to the Interruption will be added to the student timeline. If an equal extension is not required the relevant question on the Interruption from should be completed accordingly. On your return to the University, the Graduate School needs to be informed that you are resuming your studies. It is not necessary to apply for **registration** for the research degree to be restored but it is necessary for you to complete the **re-enrolment** procedure with the Graduate School (where relevant).

Applications for interruption of registration must be submitted in accordance with the format and procedures detailed in Procedure 6.

Students still in their probationary period who wish to interrupt their studies should complete the relevant form; the minimum period to be granted during the probationary period shall be two months. See Regulation 3.7.

10. Change in Approved Mode of Study

Where a student wishes to request a change in mode of study between full and part-time, he/she can apply to the relevant Faculty Head of Research Students or equivalent role (or nominee), with detailed reasons. Such applications should be made using the appropriate form on myResearch and with the authority of the first supervisor (or nominee).

Should the change be approved the Graduate School will ensure that relevant departments within the University are informed so that adjustment can be made to fees, where relevant.

No change of mode shall be considered following the commencement of the fee free completion period. This is to ensure that University statistics more accurately reflect the mode under which the work was carried out. There is no negative implication for the student with respect to fees.

11. Variations from the Standard Research Programme

The following variations from the standard research programme are permissible provided that the approval of the Research Degrees Committee Faculty Review Panel, see Procedure 7, is obtained **at first project review.**

11.1 Exhibition, Performance, Creative Writing or Similar Work

A student may undertake a programme of research in which the student's exhibition, performance, creative writing or other similar work, forms as a point of origin or reference, a significant part of the intellectual enquiry. Such work may be in any field but **must have been undertaken as part of the registered research programme.** In such cases, the presentation or submission of work relating to exhibition, performance or other creative writing or similar work must be supported by documentation in the form of a thesis which sets the work in its relevant theoretical, historical, critical and/or design context. The thesis must itself conform to the usual scholarly requirements and be of the correct length as defined in Regulation 15.

The final electronic copy of the submission must be accompanied by some permanent record (for instance, computer disk, video, photographic record, musical score, choreographic notation, diagrammatic representation) of the exhibition, performance or other creative work where practicable, this shall be submitted at the same time and bound with the thesis. The electronic version must include this record.

The application for first project review must set out the form of the student's intended submission and of the proposed methods of assessment.

11.2 In the case of PhD by Concurrent Publication the following criteria apply:

a) The intention to present a thesis via this route will be confirmed at the time of first project review. The Faculty Review Panel may decline thesis submission via this route and in such cases the student will be required to complete the thesis through the conventional route. Subsequent alteration to the intended submission route must be made with the permission of the Supervisors, Faculty Head of Research Students or equivalent role and the Director of the Graduate School. Requests to revert to a conventional dissertation submission route will not normally be considered after two years of full-time or four years of part-time study have elapsed. A request to move from a conventional PhD dissertation to PhD by Concurrent Publication will be similarly considered.

b) Candidates will follow a supervised programme of research as specified in section 4 of this code. When pursuing this route, the candidate will write up the results of their research during the period of registration, resulting in a body of no fewer than three papers accepted by, or in a format suitable for submission to, an appropriate journal or equivalent academic publication. In this route it is expected that the papers represent an interconnected approach to the study's core research question(s). If the outcome of formal review is that the candidate will transfer to MPhil, the conventional dissertation route should be followed.

c) The papers comprising the thesis must be presented in the form in which they were published or, if not yet published, the final form submitted for publication. It is understood that the formatting conventions of specific journals will be retained in papers included in the thesis. A single formatting style is not required for the papers that comprise the thesis.

d) The candidate must be the person primarily responsible for producing the first draft of all the papers included in the thesis, and must be responsible for at least 75% of the final content of each paper included. The candidate is therefore considered the 'lead' author in terms of contribution (though not necessarily in terms of the order in which names appear on the paper).

e) In the case of co-authored papers, the candidate must include a statement clearly identifying those elements of the work in which they were not directly involved. The statement should be supported by the supervisors' written confirmation.

f) For each paper included in the thesis, all co-authors must sign a statement confirming that the candidate was responsible for at least 75% of the content and was primarily responsible for the first draft of each paper. The statement(s) shall be included in the bound submission of the thesis. Without the inclusion of this statement in the submitted thesis, the work shall not be eligible for examination. Students and supervisors should therefore be aware of this requirement at every stage in the research process and take steps to ensure that the requirement is met in a timely fashion.

g) Submissions should demonstrate the requirements for the award of PhD, as set out in section 1.4. In addition to the papers presented in published or publishable form, the candidate will include a supporting critical and theoretical narrative of no more than 20,000 words articulating the originality, coherence and methodological validity of the work, which should include:

   i) a description of the overall aims of the study and a critically focused background to the work in the context of the relevant literature
   ii) a description of the research method(s) employed
   iii) discussion of the overall findings in relation to the original contribution(s) to knowledge made by the work and a conclusion. Candidates and supervisors should understand that, since the thesis comprises papers in a form suitable for journal publication with a separate critical and theoretical narrative, submissions made by this route are distinct from those in which chapters may comprise material initially published as journal or conference papers subsequently reworked into a conventional thesis format.

h) The candidate must ensure that information only briefly described in the papers, such as methodology or experimental detail, is dealt with in full in the thesis by the inclusion of additional material in the critical and theoretical narrative.

i) Where a paper may be subject to a publisher's claim on copyright, the candidate must ensure that permission for its inclusion in the final thesis presentation will be granted prior to entering a contract for publication (bearing in mind the eventual online availability of the thesis). Where such permission is necessarily obtained, a copy of the permission statement should be included with the bound thesis. If it has not been possible to obtain permission for the inclusion of a paper in a thesis following successful examination, an electronic version of the thesis with the relevant paper(s) redacted and replaced by a Digital Object Identifier (DOI) may be made available on the University's Institutional Repository.

j) The entire submission will be bound into a continuous volume.

11.3 Submission of Theses in Foreign Languages

Regulation 1.7 of the Research Degree Regulations indicates that "except where the Faculty Head of Research Students or equivalent role and Director of the Graduate School has allowed otherwise, the thesis must be presented and defended in the English language". The procedure for making an exception to the norm is as follows:

a) the case must be made and accepted by the Faculty Head of Research Students or equivalent role and Director of the Graduate School before first project

review so that the student and the supervisors are clear from the outset of the language(s) in which the thesis is to be written and the oral examination is to be conducted;

b) the case must be fully supported by the first supervisor;

c) at least one supervisor must be sufficiently expert in the language used to offer constructive criticism concerning style, structure and content;

d) approval must not be likely to prejudice the subsequent selection and appointment of examiners. Examiners must be competent in the language used.

Criteria for approval must include identification of positive benefits to the thesis being written in a particular language. A student's lack of ability to write in English is not a valid reason for making a proposal; as such a student would not meet the University's admission requirements. Accordingly approval will only be granted in the most exceptional cases.

The thesis must contain an extended abstract in English, not normally exceeding 3,000 words, bound in with the thesis.

11.4 Submission of PhD by Published Works

A member of staff may be permitted by the Research Degrees Committee Faculty Review Panel, to present published work for examination, provided that he/she is able to fulfil the following:

a) demonstrate a thorough knowledge of the relevant literature;

b) demonstrate a sufficient original contribution to the literature;

c) demonstrate a sustained research effort in the work represented by the publications;

d) satisfy the conditions of Regulation 1.4 in that the submitted work should:

    i) represent a substantial, continuous and coherent body of work on a particular theme; and

    ii) demonstrate critical investigation and evaluation of the topic of research; and

    iii) constitute an independent and original contribution to knowledge; and

    iv) demonstrate the student's ability to undertake further research without supervision.

e) the applicant is either a permanent member of staff or on a fixed term contract of at least three years duration and is either full-time or pro-rata normally of at least 0.5 full-time equivalent. The applicant must have been a member of staff for not less than two years at the time of registration;

f) the student must provide a declaration at the time of first project review that none of the material to be submitted has been used previously as part of a submission for an academic award, whether successful or otherwise;

g) a student enrolled for PhD by Published Works must submit their First Project Review form at the time of the application process and this will be reviewed within the Faculty by the Faculty Head of Research Students or equivalent role, at least one other academic researcher with appropriate expertise appointed by the Faculty Head of Research Students or equivalent role and by the Director of the Graduate School. The application shall only be accepted if the First Project Review form is approved;

h) students registered for a PhD by Published Works are exempt from completing the Training Needs Analysis and all elements of the Researcher Development Programme but can attend any elements of this programme;

i) the student's submission for PhD by Published Works shall include:

    i) the publications presented; which shall be:

        a) material of a suitable quality to be acceptable by the University for REF submission; and

        b) substantial and sufficient to demonstrate an advancement of knowledge.

    ii) an exposition and analysis, of approximately 10,000 words, of the work contained in the publications. The exposition document is regarded as central in enabling the student to demonstrate achievement in relation to the following criteria:

        - it shall identify the main problems or issues under discussion; and
        - it shall indicate the direction and thematic consistency of the publication(s); and
        - it shall provide an authoritative critique of the work; and
        - it shall locate the work in the context of the relevant literature; and
        - describe and assess the original contribution represented by the publications submitted;
        - in the case of conjoint publications, detail the extent and scope of the student’s contribution in relation to the other authors. In the case of conjoint work, the contribution of a student will be rigorously scrutinised, particularly in the oral examination;

- indicate a sustained contribution in a coherent field of research.

j) the criteria for assessing a student in this situation are the same as for a student submitting a conventional thesis under the Research Degree Regulations.

12. Monitoring of Research Student Progress and Feedback

12.1 Progress for research degree students (excluding MA/MSc by Research) is subject to annual review by a panel of at least three research active and relevant academics, including representation of the supervisory team and at least one member who is independent of the supervisory team. Feedback shall be part of this process. If a student requires an extension at the time that annual review is due then this shall form part of the discussion.

Full-time students who are registered on the Doctoral Researcher Programme will not be required to have an annual review in year one, and part-time students on either of these routes will not be required to have an annual review panel meeting in year two. In both these cases the Formal Review process will replace the annual review.

If a student receives a viva voce outcome of 18.2c) and is permitted to re-submit for the degree sought, the student is required to resume participation in the annual review process, which the first supervisor will arrange.

The annual review shall also include consideration of:

a) the student's progress with the Researcher Development Programme, as informed by the initial Training Needs Analysis, see regulation 4.1;

b) any necessary change in the Training Needs Analysis consequent on the progress of the project;

c) where applicable, a review of the student's Personal Development Plan.

For further guidance on the Annual Review Panel please refer to the 'Guidance Notes for Annual Review Panels'.

All students registered for a research degree programme shall be expected to pass the usual annual review stage. Students should be aware that failure in performance at the annual review could result in termination of their registration or the requirement for a PhD student to submit for MPhil.

12.2 The 'Progress Report' form outlined in 6.4 and 6.5 provide an additional means by which progress can be monitored and should be used to determine whether actions agreed by supervisor(s) and the student are satisfactorily carried out.

If a student feels that the project is not proceeding satisfactorily for reasons outside his/her control, or that he/she does not have an effective working relationship with the supervisor(s), he/she could feel it is inappropriate or undesirable to wait for the annual monitoring process. In this case, the student is advised to contact the Graduate School for guidance. It would normally be expected that the student discuss the matter with the First Supervisor (if possible). Failing this, he/she should approach the relevant Faculty Head of Research Students or equivalent role. Should the matter still not be resolved, he/she should report his/her concerns to the Chair of Research Degrees Committee to make a final decision.

13. Formal Progression From Doctoral Researcher Programme to PhD

13.1 All research degree students registered on the Doctoral Researcher Programme and who enrolled after 1st September 2012 shall submit a **formal review** between 12 and 15 months of full-time registration or 18 months and 24 months of part-time registration. These deadlines are calculated from the original enrolment date.

It is imperative that the 15 month full-time or 24 month part-time deadline is adhered to. Failure to do so will result in the termination of registration.

There might occasionally be cases of mitigation which could justify extension of the deadline. These should be requested in good time by the student and supervisory team on the appropriate form on myResearch for consideration by the Faculty Head of Research Students or equivalent role (or nominee).

13.2 The supervision team shall nominate an internal assessor and obtain the consent of the internal assessor prior to his/her possible appointment and in advance of submission of the formal review on myResearch. The Faculty Head of Research Students or equivalent role will approve the proposed appointment**. The Graduate School will dispatch all documentation to the assessor.**

13.3 Where it is not possible to appoint a single internal member of staff, two assessors shall be appointed. One will assess the quality of the specific content of the formal review and the other will give guidance on the overall suitability of the project in terms of achieving research degree standards. One joint report will be produced by the subject expert in conjunction with the experienced assessor. Both assessors will authorise the report form.

13.4 A member of staff registered for a research degree cannot be nominated to be the internal assessor for a formal review.

13.5 Where a formal review has been referred for revision it is expected that the student with guidance from the supervisor will spend an intensive period putting together the revised document so that re-submission can take place in a timely manner**.**

13.6 A selected internal assessor(s) **should not normally** be nominated to be the internal examiner for the final examination.

13.7 Students submitting their formal review will be required to undergo a formal interview with the assessor. The student will be informed of the arrangements for the interview by the supervisor. Where a formal review has been referred for re-submission, a second interview with the assessor is at the discretion of the assessor.

13.8 In support of the formal review, the student shall prepare for the Research Degrees Committee Faculty Review Panel two copies of a formal review report on the work undertaken. The formal review report should be between 5,000 to 10,000 words in length and include:

a) i) a brief review and discussion of the work already undertaken including a review of relevant sources and methodologies as well as a plan of further work.

or

ii) an annotated list of chapter headings, indicating the overall thesis structure; a provisional timetable for the completion of each draft chapter; one or two draft chapters, or, in the case an exhibition, performance or other creative work, a presentation of work, recorded or live; a statement outlining the rationale, methodology and theoretical perspectives of the thesis, including details of the original contribution to knowledge which is likely to emerge.

b) A student registered for a research degree which involves the production of a substantial body of original creative work shall also present, in an appropriate form, examples of any relevant exhibition, performance or creative artefact in support of the formal review report, which in this case will appropriately be within the range of 3,000 - 5,000 words. At the discretion of the Internal Assessor(s), the student can be required to be present when such work is being considered and respond to questions.

c) Within the formal review report (13.9a) a student registered for the PhD by Concurrent Publication shall also present an outline of the projected focus, research aims and methods relevant to each paper planned for the submission as an indication of the way the papers will reflect to the proposed stages of the research. This should normally constitute no more than 2,000 words within the overall word count indicated in section 13.9. This element of the formal review report should satisfy the Internal Assessor of the coherence of the student's research trajectory.

13.9 A student registered for MPhil only may exceptionally apply to transfer registration to the Doctoral Researcher Programme. Such an application must normally be made by no later than 12 months of full-time registration and 24 months of part-time registration.

13.10 Before approving the formal review to confirm PhD status, the Research Degrees Committee Faculty Review Panel must be satisfied that the student has made sufficient progress and that the proposed programme provides a suitable basis for work at PhD standard which the student is capable of pursuing to completion. All students will be required to undertake an oral assessment as part of the formal review process.

The Research Degrees Committee Faculty Review Panel may approve a formal review unconditionally or conditionally, may refer the application back for further work or may decline to approve the application. In the case of a student registered for PhD by Concurrent Publication, a further possible outcome is the requirement that the student revert to the conventional dissertation route. If the formal review is declined by the Faculty Review Panel this will result in the registration reverting to that of Master of Philosophy. In that case, a student registered to complete the PhD by Concurrent Publication will be required to present a conventional MPhil dissertation, as in 11.2 b).

13.11 Where a formal review is not approved, the student may seek reconsideration of the Research Degrees Committee Faculty Review Panel's decision subject to the circumstances and procedures set out in Regulation 20.

13.12 A student who is registered for PhD may, in consultation with his/her supervisory team, at any time prior to submission of the thesis for examination, apply to the Graduate School for the registration to be transferred to registration for MPhil. This will be subject to the approval of the Research Degrees Committee Faculty Review panel.

14. Submission of Thesis and Any Other Work

14.1 The thesis must be presented in accordance with the requirements of Regulation 15.

14.2 It is the responsibility of the student to ensure that the thesis and/or any other work is submitted to the Graduate School within the maximum period permitted to the student under Regulation 7.1.

14.3 The thesis must be the result of the student's own work. The requirement does not preclude a student obtaining limited assistance with proof reading. When such help is obtained it must be with the prior approval of the supervisor who must be satisfied that the spirit of the 'own work' requirement is not breached.

If a student employed a professional proof-reader for their research thesis the following definition applies:

The role of a proof-reader of a thesis is to ensure that the meaning of the text is not misrepresented due to the quality and standard of the English used. A proof-reader must not:

- change the text of the thesis to clarify or develop an argument;

- reduce the length of the thesis;
- assist with academic referencing;
- correct factual information;
- or translate the thesis into English.

A proof-reader may correct spelling, grammar and punctuation accuracy.

If a student obtains the assistance of a proof-reader for the thesis, a statement must be included in the thesis declaring editorial assistance was used.

14.4 For the oral examination, the student should forward onto the Graduate School as many identical copies of the glue-bound thesis as there are examiners, and must bring to the oral examination a further identical copy for his/her own use. If under Regulation 17.4 the student has requested his/her supervisor to be present then a further copy shall be provided to them. The theses shall adhere to Regulation 15.6.

14.5 Students are required to submit an electronic copy of the final version of the thesis according to the procedure defined by the Graduate School. In addition, the student must submit an electronic copy of the thesis (identical to the printed copy) for analysis using Turnitin according to the procedure defined by the Graduate School within 3 days of submitting the printed copies.

14.6 The submission of the thesis shall be accompanied by the submission of the Student Declaration Form in myResearch, which covers the originality of the work and its compliance with the requirements regarding registration.

14.7 It is the right of the student to submit their thesis for examination against the advice of their supervisory team. However, in such circumstances it is likely the University will seek advice from an independent internal assessor prior to dispatching to the examination team. The Director of the Graduate School upon advice from the Faculty Head of Research Students or equivalent role holds the right to decide the thesis is not ready for examination or to allow the thesis, in the case of PhD theses to be examined for MPhil. In such circumstances the student may be given a final opportunity to revise the thesis.

14.8 No student shall attempt to contact examiners or potential examiners concerning the examination or concerning any matter which could affect the examination.

14.9 After successful completion of all stages of the examination an electronic copy of the final version of the thesis must be submitted to the Graduate School in partial fulfilment of the conferment requirements and this shall adhere to all the requirements of Regulation 15.6.

14.10 A student must include in the submission the text of any published work produced as part of the programme of work, of which he/she is the author, provided that;

a) the work is relevant to the submission; and

b) the text contains details of the publication.

Reports on work relevant to the submission, which had been carried out before a student's registration for the degree, can be appended to the submission, appropriately annotated, if this is necessary to make the submission complete and understandable.

15. Presentation of Thesis

15.1 The presentation of a research degree thesis may be made by one of the following routes:

a) a conventional dissertation, comprising individual chapters that are not in a previously published form

b) papers of publishable standard accompanied by a critical and theoretical narrative, as further defined in Regulation 11.2 as PhD by Concurrent Publication

c) a substantial body of original creative work, appropriately presented or evidenced, together with a written thesis contextualising the work within an academic framework (as practice-based research)

d) a collection of published works demonstrating a significant and original contribution to research (as described in Regulation 11.4 as PhD by Published Works).

15.2 The thesis must include a statement of the student's objectives and must acknowledge published or other sources of material consulted (including an appropriate bibliography and/or list of references, in an academically recognised format) and any assistance received. There must be an abstract (of approximately 300 words) bound into the thesis which provides a synopsis of the thesis stating the nature and scope of the work undertaken and of the contribution made to the knowledge of the subject treated.

15.3 With the exception of PhD by Published Works material produced during the MPhil or PhD and already published shall be referred to explicitly in the thesis. If desired, copies of the published material can be bound in with the thesis or attached in some appropriate way. For PhD by Published works Regulation 11.4 i) applies. For the PhD by Concurrent Publication, any material published but not included in the examinable thesis shall also be explicitly referred to as above.

15.4 Theses must normally be submitted in A4 format. The Research Degrees Committee may give permission for a thesis to be submitted in another format

where it is satisfied that the contents of the thesis can be better expressed in that format.

15.5 The text of the thesis should **not normally exceed** the following length (excluding ancillary data):

<u>PhD</u>	
Practice Based Research	40,000 words
Non-Practice Based Research	80,000 words
<u>PhD by Concurrent Publication</u>	
Minimum three journal papers	Variable according to discipline
Critical and theoretical narrative	20,000 words
<u>MPhil</u>	
Practice Based Research	20,000 words
Non-Practice Based Research	40,000 words
<u>MA/MSc by Research</u>	
Practice Based Research	20,000 words
Non-Practice Based Research	30,000 words
<u>PhD by Published Works</u>	
Practice Based Research	10,000 words
Non-Practice Based Research	20,000 words

15.6 The following requirements must be adhered to in the format of the thesis.

a) the binding shall be of a fixed type so that pages cannot be removed or replaced. The front and rear boards of the final bound copy shall have sufficient rigidity to support the weight of the work when standing upright. A spiral bound document **will not** be accepted;

b) for examination the front cover may be in any colour and shall bear the title of the work in at least 24pt type. The name and initials of the student, the qualification and the year of submission shall also be shown on the front board. The same information (excluding the title of the work) shall be shown on the spine of the work on the final bound copy;

c) copies of the thesis shall be presented in a permanent and legible form either in typescript or print. Where copies are produced by photocopying, these must be of a permanent nature;

d) a student can opt to print text on both sides of the paper provided that the paper is of sufficient weight to ensure that the text is perfectly legible;

e) the recommended standard for page margins is as follows:

Left Margin:	4cm	Right Margin:	2cm
Top Margin:	2cm	Bottom Margin:	4cm

f) double or one-and-a-half spacing must be used in typescript except for indented quotations or footnotes where single spacing can be used. A further half space must be allowed between paragraphs;

g) pages shall be numbered consecutively throughout the thesis, including any appendices, photographs, and/or diagrams which are included as whole pages;

h) the title page shall give the following information:

   i) the full title of the thesis; this must be the title approved when examination arrangements were made unless subsequently approved by the Director of the Graduate School and the Faculty Head of Research Students or equivalent role;

   ii) the full name of the author;

   iii) the award for which the thesis is submitted in partial fulfilment of its requirements;

   iv) that the degree is awarded by De Montfort University;

   v) sponsor of research where appropriate and Collaborating Establishment, if any;

   vi) the month and year of submission;

   vii) the number of volumes, if more than one.

i) theses must be submitted in glue bound binding for the purposes of the oral examination. The final thesis is required to be submitted electronically.

j) Submissions for PhD by the concurrent publication route should follow the above guidance for the title page and the critical and theoretical narrative element. A contents section should provide a fully referenced list of papers included in the submission (including Digital Object Identifier (DOI) where relevant). A single formatting style is not required for the papers that comprise the thesis.

15.7 The electronic copy of the thesis will be submitted to the Institutional Repository in the University Library.

15.8 Where the University has agreed that the confidential nature of the student's work is such as to preclude the thesis being made freely available in the library of the University or sponsoring establishment for an agreed period as identified on the

First Project Review form (and collaborating establishment, if any) then the electronic thesis shall, immediately on the completion of the programme of work, be held confidentially within the institution. After this period the thesis will be kept in the Institutional Repository in the University Library.

16. Selection and Appointment of Examiners and Examiners' Duties

16.1 A student for a research degree shall be examined by the external and internal examiners appointed for that purpose by the Faculty Head of Research Students or equivalent role and the Director of the Graduate School on the nomination of the Supervision team. There shall be at least one external examiner and one internal examiner. An external examiner shall be external to and independent of the University and of a Collaborating Establishment. An internal examiner shall be a member of the staff of the University, which can in exceptional cases include members with emeritus status.

Any one external examiner should not be appointed with such frequency that familiarity with the University's research environment could influence, or appear to influence, their objectivity in the examination process. As a guide, an external examiner should not be appointed more than three times within any five year period.

16.2 The University prohibits direct teaching, examining or supervising of one family member by another. Whilst there is an expectation that the member of staff will ensure the University is aware of any such cases, students also have a responsibility to inform their Faculty Head of Research Students or equivalent role or Faculty Associate Dean if this situation arises.

If a student is aware that any member of their family is, or becomes, a member of Professional Services (i.e. non-academic) staff they must inform the Director of Student and Academic Services who will ensure appropriate measures are in place to protect confidentiality and integrity of data.

16.3 The examination arrangements form on myResearch should be submitted for consideration by the Faculty Head of Research Students or equivalent role and the Director of the Graduate School at least three months prior to submission of the thesis.

Examinations which do not take place within eighteen months of the date approved by the Faculty Head of Research Students or equivalent role and the Director of the Graduate School will require, either,

a) confirmation by the First Supervisor (or nominee) that the examination team remain valid, or

b) the submission of a revised examination arrangements form.

16.4 A person who is appointed as a student's supervisor cannot be appointed as an examiner of that student.

16.5 If the student is a member of academic staff of the University at the time of examination, it is a requirement that two External Examiners are nominated as well as an Internal Examiner. This shall apply to all staff on permanent academic or professional services contracts, whether full time or part time. Staff on fixed term or hourly paid contracts may be exempt from this requirement but, in such cases, where the staff member is working in a close collegial relationship with permanent staff (for example as a research and/or teaching fellow) the requirement for two examiners will normally be applied, subject to consideration by the Faculty Head of Research Students or equivalent role and the Director of Graduate School. If, under exceptional circumstances such as illness or emergencies, the second external examiner cannot attend the oral examination, an Independent Chair appointed by the Director of the Graduate School (or nominee) shall be permitted to attend. The academic judgement of the absent second external examiner will be sought before the examiners' recommendation is submitted.

Where the student is registered for a PhD by Published Works two external examiners and at least one internal examiner shall be appointed. This regulation shall apply to all students regardless of his/her status at the time of examination.

Research Students who engage in not more than 6 hours per week of teaching during their research studies do not fall within the scope of this regulation.

a) If the student is funded through the Midlands 3 Cities Doctoral Training Partnership, an Independent Chair shall be appointed from the Doctoral Training Partnership list of Independent Chairs.

16.6 In appointing examiners the Faculty Head of Research Students or equivalent role and the Director of the Graduate School must ensure that the following criteria are met:

a) the examining team as a whole must have:

    i) substantial experience in examining research degree students at the level of the degree in question; and

    ii) substantial knowledge of current research relating to the subject area of the submission.

b) for PhD examinations, at least one examiner shall normally possess a PhD or equivalent qualification

In order to meet these criteria, additional examiners may be appointed as necessary.

c) No person who is registered as a student for a research degree at this University or elsewhere may act as an examiner.

d) All examiners shall be independent of the student and the student's work. No examiner shall have provided any formal guidance in respect of the context or structure of the thesis, thesis project or other submitted work, see also Regulation 16.6 below. External examiners must evidence their eligibility to work in the United Kingdom to the Graduate School.

e) Former members of the staff of the University are not normally eligible for appointment as external examiners until three years after the termination of his/her employment.

16.7 Nomination of Internal Examiners

a) Subject expertise is the paramount consideration in the appointment of examiners for research degrees, and proposals for examination arrangements will normally identify only one internal examiner. Where an appropriate internal examiner is identified, the following requirements apply. Either:

   i) The internal examiner must have previously examined or observed a minimum of two research degrees, at least at the level to be examined, and 'self- certified' their experience with the Graduate School, or
   ii) If the internal examiner does not yet meet the above experience requirement an independent chair will be appointed to convene the examination.

   In all cases, internal examiners must have obtained the Certificate in Research Supervision. Where a second internal examiner is required under 16.7(c) below they each must also have obtained the Certificate in Research Supervision.

b) An 'experienced internal examiner' is a person whose experience is sufficient to give themselves, his/her peer group and the University confidence that they can play a full and balanced role as the sole or lead internal examiner for a research degree. Administrative aspects of this role are as laid out in the 'Guidance Notes for Examiners'. Further, the experienced internal examiner is expected to exercise judgement about the conduct of the examination process such that the outcome is commensurate with the performance. S/he is also responsible for ensuring that standards are appropriately maintained. In other words it is a responsibility of the experienced internal examiner to ensure that the expectations of fellow examiners are neither excessive nor inadequate.

   A 'new internal examiner' is one who is gaining experience in the processes but has not yet reached the standing of experienced internal examiner. Normally, after observing or participating in two examinations satisfactorily it is likely that a new internal examiner shall be eligible to become an experienced

internal examiner. The transfer test shall be by self-certification against a checklist, the Director of the Graduate School (or nominee) shall review and countersign, except in rare cases where further experience is deemed to be desirable to protect the students' interest.

c) When **two** Internal Examiners are proposed, the experience of one must be certified (See Regulation 16.6(a) above) and additionally must, for PhD examinations, have examined at least two at the level of the award. A case must be made giving the reasons for the nomination of a second Internal Examiner, which normally would be relevant where two internal examiners are required to interrogate different aspects of a multidisciplinary thesis.

d) If a student is in agreement, a member of staff inexperienced in examining may attend their viva as an observer in order to meet a staff development need. The student's agreement to this will be confirmed by supervisors prior to the submission of the examination arrangements form and recorded by the Graduate School.

The internal observer is present solely to gain experience and will not submit any post-viva report. A glue-bound thesis is not required for the observer, only the examiners. The Graduate School will email a copy of the thesis (at the request of the first supervisor) to the observer prior to the date of viva. The observer will not communicate a view on the thesis to the student or to the examiners at any point prior to the final corrected or revised submission and the observer will not communicate any of the deliberations of the examiners to the student at any time. Where two internal examiners are already appointed, an observer may not be included in the examination process.

The 'observing' member of staff will not act as a full member of the examining team but will meet with the internal examiner at the point of completing the pre-viva report in order to understand the purpose the report and the types of issues that would normally be recorded on it. The observer will attend the examiners' pre-viva meeting in order to witness the process by which examination questions are formed, and will then be present for the whole of the viva examination as well as the examiners' discussion of the outcome.

Since the role is that of an observer not formally part of the examination team, during the viva the observer should sit outside of the student's line of vision so that the student is not distracted in any way, and the observer must not take any active part in the questioning. The observer may take procedural notes but should not take notes relating to the content of the student's work or to the outcome of the examination. At the conclusion of the viva the observer will remain to witness the discussion between examiners as to their recommended outcome but must not play any part in this discussion. At the conclusion of the examination process the observer may then discuss the whole process with the examiners.

e) A Chair appointed at a research degree examination should be an experienced academic, who:
   - Has met the University's requirements for an experienced internal examiner,
   - In the opinion of the Faculty Head of Research Students or equivalent role and the Director of the Graduate School, has sufficient background and experience in the administration and examination of research to deal confidently with any queries or issues arising during the examination process,
   - Has not had a role in the candidate's supervision or acted as their formal review assessor.

   The Chair must ensure they have familiarity with:
   - The University's Code of Practice for Research Degrees,
   - The University's regulations concerning research integrity, and
   - The University's regulations and processes in respect of plagiarism.

   The Chair's primary roles are to:
   - Ensure that the conduct of the examination is academically rigorous, fair and consistent with the University's procedures and guidance,
   - Ensure that adequate opportunity is given to the candidate to defend their thesis and to respond to examiners' questions,
   - Provide examiners and/or the candidate with advice on the research degree regulations should queries arise in the examination process,
   - Confirm with examiners that Turnitin reports have been fully evaluated, and
   - Support a new internal examiner in carrying out their duties as described in regulation 16.9 (including review of the Turnitin report).

   The Chair is not expected to read the thesis, and will not take an active role in examining the student on their submission nor will they have a role in determining the outcome of the examination. The Chair should be present for the pre-examination discussion between examiners, introduce all those present at the start of the examination and remain for the entire viva voce, the examiners' post-viva deliberations and the subsequent unofficial relay of the outcome to the student. Where the outcome of the examination requires the candidate to undergo a second oral examination, the independent Chair should be in attendance on the same terms as above. Should the Chair no longer be employed by the University, another suitably qualified member of the academic staff will be appointed in their place.

   Additional responsibilities of the Chair:
   - To clarify for the student the meanings and implications of the examiners' decision on the outcome of the examination.
   - Where there is disagreement between examiners about the outcome of the examination or the nature of any revisions or corrections required, the Chair will assist examiners in reaching an agreed position. In such cases

the Chair's role is restricted to providing examiners with advice on their options, and has no casting vote. Where an agreed position cannot be reached with the Chair's assistance, regulation 19 shall apply.

- To be available to comment or provide relevant evidence in relation to a student's appeal against an examination outcome.

16.8 The duties of examiners shall be as follows:

a) all examiners are required to complete an independent pre-viva form and submit to the Graduate School **at least five days prior to the date of examination**;

b) **t**he examiners are required to hold an oral examination known as the viva voce, except in the most exceptional of circumstances, see Regulation 17.1;

c) the examiners are required to submit an Examiners Report form and recommendation on the appropriate form, unless they are in disagreement in which case separate report forms must be submitted (see Regulation 19 below). Also to assess material subsequent to the viva voce where appropriate;

d) examiners are expected to complete the examining process within ten weeks of receiving the thesis. This applies to re-submissions also. If this cannot be achieved, a report outlining reasons for delay must be submitted to the Graduate School.

16.9 The internal examiner has particular responsibilities to ensure that:

i) Those present at the viva understand the university's examination procedures, and the conduct expected during the viva examination itself.

ii) An agreed recommended outcome of the examination process is stipulated (as in regulation 18.2), paying particular attention to noting the examiners' agreement as to whether a second viva examination is required.

iii) A coherent joint summative report on the thesis is completed following the examination. **This should include an overall evaluation of the thesis with the examiners' view of its strengths and weaknesses.** Where major revisions are required the report should relate clearly to the separate statement of thesis deficiencies which should be completed via myResearch. The statement of thesis deficiencies should be as unambiguous as possible with sufficient detail to allow the student to respond to the examiners' requirements. These requirements may be verbally summarised for the candidate following the viva, but should not be regarded as official notification of the result of the examination (see regulation 17.9).

Where experienced and inexperienced internal examiners are working together it is responsibility of the experienced internal examiner to ensure the coherence of the report. Note that specific processes apply in situations where there is

disagreement amongst examiners as to the outcome of examination (See section 8 of the Guidance Notes for Examiners, and regulation 19).

iv) The Turnitin similarity report on the thesis is evaluated in consultation with the external examiner(s) and any additional internal examiner. This should be completed as soon as practicable after receipt of the thesis. Instructions for accessing the Turnitin report and its interpretation are provided by the Graduate School. A short report giving the rationale for approval or non-approval of the thesis should then be recorded in myResearch. If, in the view of the internal examiner, the Turnitin report is indicative of bad academic practice it should be referred to the Faculty Head of Research Students or equivalent role and the Director of the Graduate School before the external examiner is contacted. The Faculty Head of Research Students or equivalent role will then follow the relevant steps in the University's General Regulations affecting Students as they apply to research degree candidates (see also section 21).

17. Oral Examination (Viva Voce)

17.1 All students are examined orally in English, (except when submitting under Regulation 11.2), on the programme of work and on the field of study. However, in cases of sickness, disability or comparable valid cause, an alternative form of examination may be approved. Such cases require the approval of the Director of the Graduate School on the recommendation of the examiners and/or supervision team.

17.2 The purposes of an oral examination are:

a) to establish that the submitted work is that of the student;

b) to give the student the opportunity to defend the direction, structure and conclusions of the work. This involves the examiners making constructive criticisms of both the research and the thesis and giving the student the opportunity to respond;

c) to explore with the student any particular issues in the thesis or submitted work which require clarification or development. This is particularly important in cases where the examiners feel that their final decision could be other than an unconditional pass;

d) to test the student's personal eligibility for the award of the degree by exploring his/her understanding of issues arising in and from the research and of the relationship of the research to the wider field of knowledge. In the case of a PhD student, the student should be able to demonstrate his/her understanding of the nature and extent of the original contribution to knowledge entailed in the research.

17.3 If one or more of the examiners contact the Graduate School to say that, in their opinion, the standard of the thesis is such that the oral examination should be

postponed, the Director of the Graduate School shall consider the matter and decide whether or not to allow the scheduled oral examination to proceed. If the decision is to postpone, then student, supervisors and examiners will be notified of this and of actions that need to be taken in order that the oral examination can be rescheduled at a later date. The internal examiner is responsible for coordinating the preparation for a single examiners' report on behalf of all examiners and communicating it to the student.

This regulation cannot be invoked on more than one occasion for the same research degree student.

Postponement will normally not exceed six months and in any case will not exceed one year.

17.4 One of the student's supervisors who is not an examiner may attend the oral examination to answer questions, unless the student has expressed a wish to the contrary. The purpose of this is to assist the student and examiners with matters of clarification only and not to participate in the oral examination. Attendance by a supervisor is not compulsory but if the student feels that this would be helpful, the University then expects the supervisor to be at the oral examination.

17.5 Oral examinations must normally take place with the student and the examination team present at the same location. Exceptionally, the examination may be conducted through the use of technology which enables either the student or a member of the examination team to participate in the examination in separate locations. This arrangement must be proposed only in exceptional circumstances and the student is normally expected to attend the examination in person. This arrangement must be approved by the Director of the Graduate School before the viva voce examination takes place and the examiners must agree to specific invigilator conditions as required by the Director of the Graduate School.

17.6 The recording of the proceedings of the oral examination, by any method, is normally prohibited.

17.7 The oral examination should **normally** last between two and three hours. The pattern for each particular oral is for the examiners to determine but in most cases the examiners will wish to focus on a detailed consideration of the research, its methodology and its findings. In some cases, however, the examiners could wish to focus on a discussion of broader aspects of the research process or findings, or the implications for policy/research, or publication possibilities. For this, the student could be invited to highlight aspects or issues that appear most important or interesting.

Supervisors of students who are undertaking their research degree by Exhibition, Performance or similar work must arrange **prior** to the oral for the full examination team to have sight of the work. This may be in the form of a performance to which the examination team are invited or could be a private showing of the work set up

for this purpose. This showing can take place well in advance or on the day of the viva voce. The student must ensure the final submission is accompanied by some permanent record (for instance, computer disk, video, photographic record, musical score, choreographic notation, diagrammatic representation) of the exhibition, performance or other creative work where practicable, bound with the thesis and with the electronic copy. In addition, it is expected that normally the textual component of the submission sent to examiners should be accompanied by documentary evidence in photographic/video form of the creative work undertaken.

17.8 The intention is that oral examinations should be constructive and stimulating for all participants. The students should expect to be challenged on their ideas, but should be assured that the experience is intended to be helpful and positive. In preparation, students are advised to re-familiarise themselves with their thesis, make their own assessment of its strengths and weaknesses, and try to anticipate issues that are likely to be raised. The student must bring a copy of his/her thesis with them to the oral examination.

17.9 No communication shall be made with a student for the award of a distinction of the University which purports to be, or might reasonably be taken to be, official notification of the results of the candidature, except by the Graduate School on behalf of the Director of Student and Academic Services.

18. Examination Outcomes

18.1 Unless operating under Regulation 19, a copy of the final joint report shall be issued to the student. In the case of 18.2 b) and c) below the student will be given a written statement of the work to be done to achieve his/her degree within an agreed timescale. The criteria for assessing the degree of MA/MSc by Research/MPhil shall be in accordance with Regulation 1.3 and those for PhD shall be in accordance with Regulation 1.4.

18.2 The final report of the examiners on the student shall recommend one of the following:

a) the student should be awarded the degree sought;

b) the student should be awarded the degree sought, provided that minor amendments and corrections in the submitted work are made to the satisfaction of the nominated examiner(s) within a specified period not exceeding three months from the notification of the result to the student;

c) the student be permitted to re-submit for the degree sought and be re-examined as follows:

i) the thesis to be revised and if deemed satisfactory by the Examiners, the student will be exempt from further examination, oral or otherwise; or

ii) the thesis to be revised and the student must undergo a further oral or alternative examination; or

iii) the thesis is satisfactory, but the student must undergo a further oral examination or other such examination as the examiners shall specify.

In this case the examiners shall specify the maximum period open to the student to re-submit, this period is not to exceed 12 months. The maximum period shall date from the notification of the result to the student.

Examiners shall not make recommendations 18.2 c) if they are examining a student who is already re-presenting *unless* the re-presentation is the outcome of an appeal;

Decision to recall the student for further oral or other examination:
Where examiners require revision of a thesis careful consideration should be given as to whether the candidate should undergo further oral (or other) examination. Practical tests of the distinction are:

i) Whether carrying out the revisions requires significant new work (such as the gathering of new or additional data and/or any new analysis) that may affect the results and conclusions of the study, such that oral defence of the revised thesis and its findings is likely to be necessary;

ii) Whether the candidate's knowledge of research methods and the field of study in general require a level of professional development that can only be evaluated by further oral examination ;

iii) Otherwise, where the examiners are of the view that the specific requirements of the viva voce examination (regulation 17.2) have fallen short of an acceptable standard;

In any event, the decision made by the examiners in respect of the above will be adhered to. Any requirement for, or waiver of, further oral or other examination specified shall be binding.

d) if a student for PhD, the student should be awarded the MPhil, if appropriate, subject to corrections on the basis stated in 18.2 b) above. Examiners must only make this recommendation for positive achievement by the student in accordance with Regulation 1.3; or

e) the student should not be awarded any degree and should be given no further opportunity of examination.

f) the examiners may also offer a PhD student a choice between accepting an MPhil as in 18.2d) or requiring major revisions over a period of time in 18.2c) to achieve PhD. The student shall be given no more than two weeks to select

the route that they wish to follow.

Where examiners recommend in terms set out in Regulations 18.2 b), c) or d) they must complete the statement of thesis deficiencies via myResearch as soon as possible and definitely within 20 days of the oral examination (excluding grammatical and typographical errors, which may be advised to the student separately).

Where the examiner recommends that a student should not be awarded the degree sought as set out in 18.2 e) above, and should have no further opportunity of examination, the examination team must complete the 'Statement of Reasons for Failure' form. If the student appeals against the outcome they will be provided with a copy of this statement, it should therefore be as practicable whilst safeguarding the confidentiality of the examining process.

Where the examination team are recommending that the student should be awarded the degree sought 'subject to minor amendments and corrections' we would ask that they consider an appropriate length of time. In some circumstances three months might be too long, and examiners are encouraged to specify a shorter time in these instances.

Before forwarding a recommendation for the award of a degree to the Graduate School the examiners must be satisfied that the format of thesis is in accordance with the University's regulations (see Regulation 15).

18.3 Examiners should be aware of the distinction between the decision to pass a student subject to correction of minor amendments and the decision not to award a degree to a student but to permit the student to revise and re-present the thesis. The following aim to clarify the distinctions:

a) one factor, among many others, in assessing a thesis is to judge whether it demonstrates satisfactorily the student's ability to produce a substantial and coherently argued report on the research. Ultimately, a successful thesis is one which is judged worthy to be lodged for public access in the Library. Nonetheless, it is not immediately clear in every case when a thesis is unsatisfactory which of the recommendations summarised in Regulation 18 above is appropriate. These guidelines are intended to aid examiners in coming to an appropriate decision in such cases;

b) it should be borne in mind that there is a substantive difference between recommending the award subject to correction of the thesis, and not recommending the award but permitting the student to revise and re-present the thesis;

c) a practical yardstick is whether the external examiner wishes to see the thesis again in order to check matters of substance. If he or she does so wish then the decision should be *not* to award the degree but to permit the student to revise

and re-present.

If the external examiner believes the thesis can be brought to an acceptable standard and does not need his or her further inspection then it can be recommended that the student be awarded the degree subject to minor amendments. The basis for this distinction is that a student who has been permitted to revise and re-present has to have his/her thesis re-examined formally in its entirety, while a *corrected* thesis simply has the corrections checked by the examiner(s);

d) *minor amendments* (18.2 b) are changes that do not alter the arguments or conclusions of the thesis. They include corrections of editorial, typographical and grammatical errors, as well as corrections to references and minor re-writing to clarify context or interpretation.

Normally, errors of presentation can be remedied by *minor amendments* unless they are judged as fundamentally and comprehensively impairing the argument of the thesis, which would require substantial re-writing or re-structuring. In such a case it is advisable to recommend major amendments as the final form of the thesis would differ substantially from its original form and would need reassessing as a whole. For example, the inclusion of new data, fieldwork or practice, new analysis or substantial new additions to literature would be major amendments.

18.4 Awards of the University are formally conferred upon Research Degree students by a representative of the Vice-Chancellor acting on behalf of the Academic Board and the Board of Governors. The Graduate School Head or representative is responsible for reviewing, checking and completing the recommendation paperwork for signature by a representative of the Vice-Chancellor.

19. Disagreement Amongst Examiners

Where examiners fail to agree on a recommendation they shall report separately on the appropriate form to the Graduate School. The Director of the Graduate School in consultation with the Research Degrees Committee may:

a) accept a majority recommendation, provided that this includes the recommendation of at least one external examiner; or

b) accept the recommendation of the external examiner or, if more than one, the agreed recommendation of the external examiners; or

c) appoint an additional external examiner.

Where an additional external examiner is appointed, he/she shall not be informed of the recommendations of the other examiners but shall prepare an independent preliminary report on the basis of the thesis and, if he/she considers it necessary, conduct a further

oral examination. On receiving the report of this additional external examiner the Director of the Graduate School in consultation with the Research Degrees Committee shall have options 18.2 a), b) or c) available to it.

20. Students' Rights of Appeal

20.1 A student has the right to appeal against a decision of:

a) the University to terminate his/her registration

b) the University to decline an application for formal review

c) the examination team to recommend the examination outcome of 18.2c), d) or e)

20.2 Grounds for appeal are limited to those set out in the 'General Regulations and procedures Affecting Students' which also sets out the appeals process.

21. Academic Offences Panel

Academic Offences often involve plagiarism. The University considers such offences to be a serious issue and it is important that students make themselves aware of what is meant by plagiarism and how to avoid it. The regulation concerning Academic Offences for research degree students is outlined in the 'General Regulations and procedures Affecting Students'.

22. Induction and Training

All research degree students are required to attend a number of generic and discipline specific courses during his/her period of study. For further information students should consult the relevant Researcher Development Programme Handbook. Please contact the Graduate School to obtain a hard copy. The handbooks are also available on the website.

Students on the International PhD Programme must undertake all mandatory elements of the Researcher Development Programme which are available to them as defined in their Study Protocol document.

23. Fieldwork Process

Students who wish to undertake field work of 30 days or greater are required to complete a Field Work Request form through myResearch prior to undertaking a Field Trip as part of their research. The approval process is:

- Trips of 30-60 days - First supervisor and Immigration Compliance manger (if applicable) approval required
- Trips of 60 days or more - require a Field Trip Request and Absence Request Form to be completed and approved by First supervisor and Immigration Compliance manger (if applicable)

Engagement during fieldtrips will be monitored by the completion of monthly progress reports.

24. Doctoral Extension Scheme

Monitoring and Reporting

Students who are successful with their DES application must confirm this to the Graduate School and provide their new visa. The Graduate School update the QL system or any equivalent system and student record. A student who is awarded the DES is permitted to re-enter the UK at any time during the validity of the leave.

The University will maintain at least 3 instances of contact with the student whilst the DES visa is valid to ensure the student is adhering to the conditions of this visa. This contact will be from the Graduate School at 3, 9 and 12 months via email, or telephone. Records of contact will be maintained by the Graduate School. It is important that students respond promptly to all communications sent by the Graduate School as failure to do so will oblige the University to report the matter to the Home Office.

Research Degree Procedures

De Montfort University

2017

Research Degree Procedures

1. Introduction

The Regulations for Research Degrees of De Montfort University govern the provision for, and examination of, research degrees in the University.

The Procedures describe the ways the Regulations are to be implemented in practice and provide guidelines for the conduct of all aspects of degree provision, registration, supervision and examination.

The procedures are designed to be of assistance to all who are involved with research degrees in the University.

The various stages in the procedures are outlined in the student cycle over the page.

2. The Graduate School

The Graduate School of the University is responsible for research degrees across the University. It provides a friendly information point for both staff and students on the procedures involved from admission to graduation.

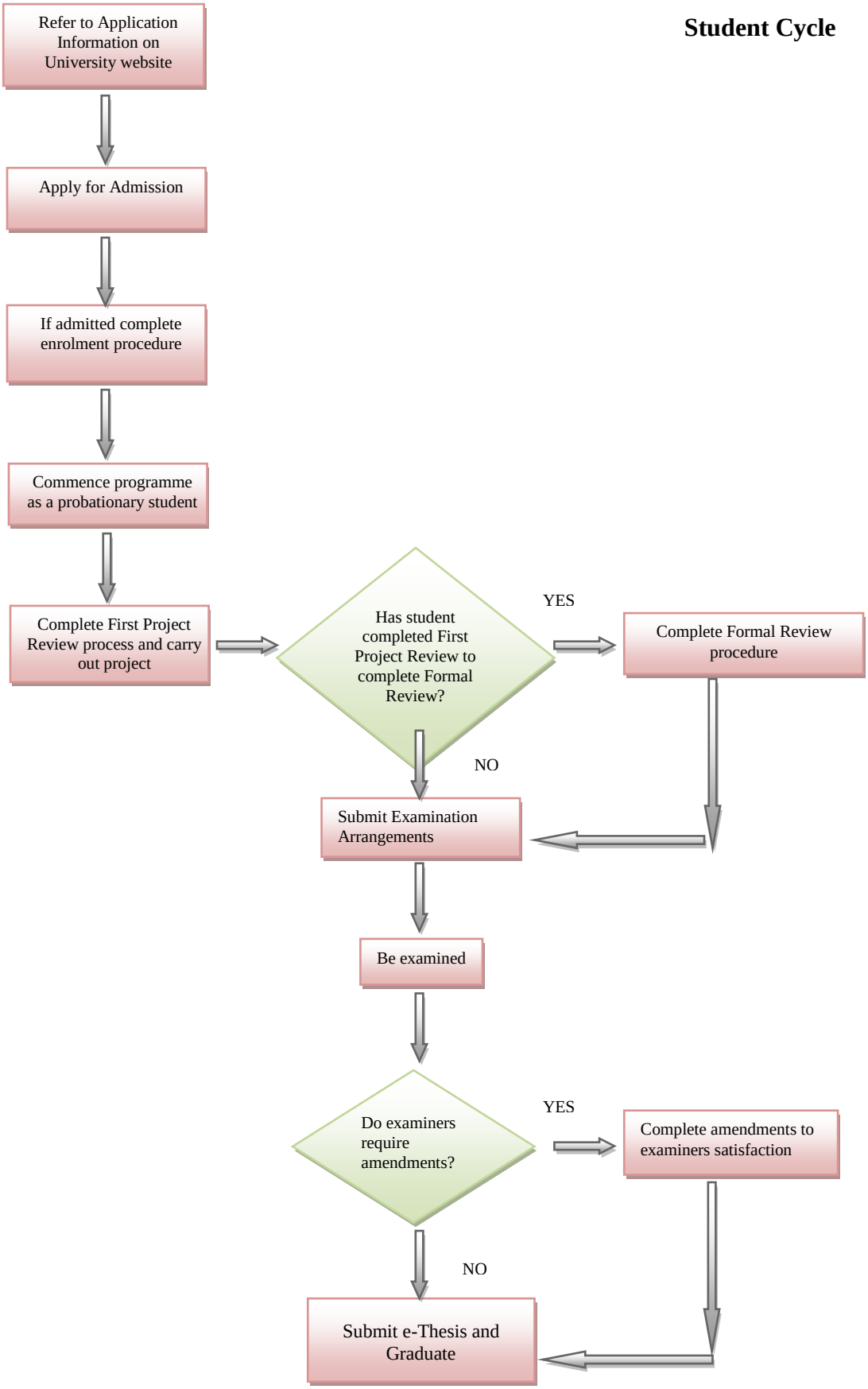
The Office is responsible to the Director of Student and Academic Services and services the Research Degrees Committee (RDC) which authorises the registration of research degree students and monitors their progress through the Research Degrees Committee Faculty Review Panels.

The Graduate School can be contacted as detailed below and are happy to answer your queries:

The Graduate School
3rd Floor, Gateway House, Rm 3.30
De Montfort University
The Gateway
Leicester, LE1 9BH

Tel: (0116) 250 6309
Email: researchstudents@dmu.ac.uk

Student Cycle



3. Research Ethics

The University has established two Committees which oversee research programmes (including undergraduate projects) with regard to research ethics.

The first is titled the "University Ethical Review and Animal Welfare Committee" and its creation was required by legislation.

The second is called the "University Human Research Ethics Committee" and deals with the protection of individuals who are the subjects of research (including undergraduate projects).

All students must complete the Ethical Review form designated by their associated Faculty as part of their First Project Review process and when required, ethical approval must be obtained before commencement of the work to which it pertains.

3.1 The University Ethical Review and Animal Welfare Committee

De Montfort University Research Degree Regulations stipulate that where research involves animals an application for approval must be made to the *University Ethical Review and Animal Welfare Committee*. Without the formal approval of this committee and confirmation of relevant personal and project licence approval from the Home Office, the research must **not** proceed.

3.1.1 Procedures

Any member of staff intending to work, or having responsibility for a student intending to work, in these areas should contact the Office of the Pro Vice Chancellor (Research & Innovation) for advice and guidance upon procedures concerning the University Ethical Review and Animal Welfare Committee.

The review process will be undertaken by the Committee which meets at least twice yearly and also oversees the general management of animal research work in the University. This Committee would then set up small working parties, involving individuals with statistical, pharmacological, surgical or experimental design expertise etc, when necessary, to consider new proposals for, or amendments to, Project Licences.

3.1.2 Collaborative Work Overseas

In respect of collaborative work overseas, researchers must still submit details to the University Ethical Review and Animal Welfare Committee and in addition:

a) researchers must apply the principles of protecting animal welfare in the course of their research, especially those of refinement, reduction and replacement;

b) they must conform with local laws;

c) they must not undertake procedures that could jeopardise the chances of work being published in journals or presented at international conferences.

3.2 The Human Research Ethics Committee

3.2.1 Description of Role

Where research involves the collection of data directly from people, or where it involves the collection of data about individuals whose identity can be detected from the data, an application for approval must be made to the appropriate Faculty Human Research Ethics Committee which reports to the *University Human Research Ethics Committee*. Without the formal approval of this committee, the research must not proceed. This includes all research involving human tissues, which is governed by the Human Tissue Act (2004) and is regulated by the University in accordance with the Act. All such work must proceed following established guidelines

The collection of data directly from people includes research activities such as:

i) interviewing
ii) surveying
iii) questionnaires
iv) observation of human behaviour
v) working with human tissue/fluids
vi) experimentation involving interference with normal physiological and/or psychological processes

The collection of data about individuals whose can be identity can be detected from the data includes the use of archived data in which individuals are identifiable (such as patient records).

3.2.2 Ethical Issues in Human Research

3.2.2.1 Codes of research ethics relating to research on humans normally identify the following basic principles:

no harm; people participating in the research should be no worse off as a consequence of their participation. People should endure no physical or mental suffering during or after the research as a consequence of their participation.

informed consent; participants should be given information about the nature and purpose of the inquiry and about what their involvement entails. They should have the capacity to understand

such information. They should provide the researcher with explicit consent to their participation. Participants can withdraw their consent at any time.

no deception; researchers should be as open and honest as possible in their dealings with participants.

avoid undue intrusion; researchers should respect the private lives of participants and cause as little disruption as possible in the process of data collection.

confidentiality; information collected by researchers should be treated in confidence and not disclosed to third parties.

anonymity; the identity of participants should not be revealed without their explicit consent.

security; data collected should be stored securely and measures should be taken to prevent loss of, or unauthorized access to, the research data.

3.2.2.2 Depending on the nature of the research, it might not be possible or desirable to adhere strictly to the basic principles outlined above. For example, psychological experiments might require some initial deception of participants as a necessary part of the research design. In some observational research, as another example, it might not be feasible to obtain formal written consent from participants. Where research does not adhere to the basic principles, researchers must provide an appropriate justification of their approach.

3.2.3 Procedures

All research degree students must complete the appropriate ethical review procedure designated to their Faculty Human Research Ethics Committee before applying for first project review of their degree.

For postgraduate research degree students, the application should normally be made to the Faculty's designated Human Research Ethics Officer; further information is available on the website.

The above requirements and procedures must be upheld by DMU staff and their students for collaborative work overseas involving the activities of 3.1.2 above.

3.3 Reporting Lines

The University Human Research Ethics Committee produces a report of its activities annually to the Academic Board.

4. Enrolment Procedures

All continuing students will be automatically enrolled **every** year, usually at the beginning of each academic session. During your first year it is expected that you will enrol at one of the agreed Fixed Entry Points; 1st October, 1st January or 1st April and pay fees pro-rata.

You will be instructed to enrol as soon as you have received your offer. At this point you will complete an enrolment form (bring two colour passport sized photographs of yourself). Also bring information on how you intend to pay for your research. Full fees are due at enrolment**.** If unable to pay in full you must pay a minimum of 50%, there will be an option to settle in instalments, which confirm to the University's payment policies. The instalments can be made by Direct Debit or online at www.dmu.ac.uk by selecting online payments and the terms are three termly or four monthly instalments.

Standard fee payers who are unable to pay in full must submit a direct debit mandate to pay in three or six instalments.

Once you have enrolled and the arrangements to pay your fees have been agreed you will be issued with your student ID card, which allows you access to University buildings. Your ID card is also your library card and you will need to show your card to have access to library facilities or to borrow books. You must ensure that you keep your ID card safe, as you will be asked for your Student Number throughout your period of enrolment. You may also be asked to show your card at any time in any of the University buildings.

Following admission, you will be assigned two supervisors, who will be responsible for arranging your induction to the University, helping you to complete the Training Needs Analysis/Statement, organising your programme of study and working with you to develop your research proposal.

4.1 Probation

Your enrolment as a research student is probationary until your First Project Review form is approved by the Research Degrees Committee Faculty Review Panel, see Procedure 7. A full-time student must apply for First Project Review within **six months** of his/her enrolment date or within **one year** if studying part-time. Those full-time students enrolled on the MA/MSc by Research must apply for First Project Review within three months of enrolment or part-time students within six months. If an application is not made to the Research Degrees Committee Faculty Review Panel, see Procedure 7, within these periods, the student's progress is deemed to be unsatisfactory and his/her enrolment is automatically terminated.

4.2 Enrolment of Members of Staff as Research Students

Members of University staff undertaking a research degree of this University **must** enrol as research students every year under the same conditions as above. Tuition fees are **NOT waived automatically** for DMU staff enrolled as students but are charged at the standard approved rate for students on similar programmes. Staff however, may apply for their fees to be paid in one of the following ways:

- from a Faculty or Department's staff development fund with the approval of their Head of Faculty/Department
- from central staff development funds administered by Human Resources (application forms available from Human Resources)
- from the appropriate research budget belonging to the Faculty/Department in which they are studying with the approval of their Head of Faculty/Department.

In each case a letter confirming the source of fees, stating the budget code, signed by the Head of Faculty/Department or the Head of Human Resources, as appropriate, must be provided **at enrolment**. If such a letter is not provided the appropriate tuition fee will be **charged to the student** until sponsorship details are approved.

4.3 Re-enrolment

Continuing students will be enrolled automatically in October of each year. At the end of the student's three year registration period (for full time students) or five year registration period (for part time students), excluding interruptions, he/she will be automatically placed into a six month period during which no fees are paid. MA/MSc by Research students are entitled to a three month fee free period and following one year of registration (for full time students) or two years of registration (for part time students). Should a student fail to submit his/her examinable thesis after the fee free period ends, liability for a continuation fee will apply until the thesis is submitted to the Graduate School for examination.

If Regulation 17.3 is invoked the student will also be liable to pay continuation fees or if the outcome of the viva voce examination is that the student be permitted to re-submit for the degree sought within a period not exceeding 12 months, the student will be liable to pay continuation fees until the revised thesis is submitted for examination to the Graduate School.

4.4 Communication with Students

Research degree students are required to use their university email address (e.g. P00000076@email.dmu.ac.uk). This will be the main form of communication from the Graduate School and Faculties. All information will be sent to this account and/or posted on Blackboard, therefore students will be required to check this account regularly. Students who persistently do not respond to formal

communications from the Graduate School by the specified deadline may be at risk of termination of registration.

5. Monitoring of Student Progress

All students enrolled for research degrees are subject to annual monitoring to ensure that their progress is satisfactory and that the arrangements for supervision, which include the relationships between the research degree students and their supervisors, are working well.

Progress is subject to annual review, *excluding MA/MSc by Research*, as outlined in Regulation 12.1. Please refer to the 'Guidance Notes for Annual Review Panels' for further information.

Progress is regularly monitored by progress meetings as outlined in Regulation 6.4. It is expected that such formal discussions will be recorded (normally at least once per month for full-time students and at least once every two months for part-time students).

6. Research Degree Procedures (Forms)

The procedures for research degrees are governed by information given on a number of forms, each of which relates to a different stage in the student's progression from the first project review through to the final examination, as appropriate. These forms are to be found in the relevant milestone on myResearch as below:

- First Project Review
- Formal Review
- Change in Mode Request
- Change in Supervision Request
- Extension Request
- Interruption Request
- Extension to Formal Review Deadline
- Withdrawal Request
- Examination Arrangements

All forms are submitted to the Graduate School via myResearch and will be considered by the relevant Research Degrees Committee Faculty Review Panel.

All forms must be completed on myResearch. No additional papers or attachments other than, when appropriate, curriculum vitae of supervisors or examiners, can be submitted.

It is important to ensure that all forms are authorised by the student and the supervisors as appropriate. The Research Degrees Committee Faculty Review Panels will **not** consider forms which do not have the appropriate authorisation.

If the enrolment procedure has not been completed upon submission of the First Project Review form for a research degree, the Graduate School has the authority to refuse this submission.

Procedures for the examination of students involve the completion of a number of forms, prior to and at the end of, the oral (viva voce) examination. Where applicable, forms must be completed via myResearch upon completion of the examination, or, in the case of the pre-viva forms by the examiners, 5 days prior to the viva voce. These forms are:

- PRE VIVA: Examiners' pre-viva assessments and reports.
  (Completed by each examiner prior to the viva voce)

- Examiners' Report Form for students of Research Degrees; and

- Student Declaration Form: to be completed by the student in myResearch.

The Graduate School will dispatch copies of the thesis, together with copies of the 'Guidance Notes for Examiners', to all examiners as soon as the thesis has been formally submitted by the student and examination arrangements have been approved.

7. First Project Review Form for a Research Degree

Once you have enrolled as a probationary research degree student you must apply for First Project Review. First Project Review is a separate procedure from enrolment and needs to be completed only once.

You will need to complete the First Project Review form on myResearch in collaboration with your assigned supervisors. As first project review is a very important stage in becoming a research degree student, the need for the full and accurate completion of all parts of this form cannot be stressed too strongly. The information contained on the form is the sole basis on which the relevant Research Degrees Committee Faculty Review Panel decides whether or not to approve your application for First Project Review. Please note the Faculty Review Panel is an electronic based procedure and does not involve a face to face meeting. Faculty Review Panel membership consists of an Independent Reviewer and the relevant Faculty Head of Research Students or equivalent role (or nominee).

The form requires certain elements of information:

- information about the **student** applying for first project review for a research degree,

- information about the proposed **topic of research**, its aims, methods and intellectual content. When proposing the working or final title of a thesis, acronyms will not be used.

- information about the proposed **supervision arrangements** for the student.

- information regarding ethical and other approval. (See Procedure 3)

The information given will indicate your eligibility to pursue a research degree and the adequacy of the proposed supervision arrangements. The supervision team proposed must have the expertise to cover all aspects of the research project and must include experience

of successful supervision of previous research degrees at the level for which you are applying.

Your first project review is dependent essentially on the research topic you choose and the nature, level and appropriateness of the methods you intend to follow. It is vital, therefore, that your proposed programme of research is fully and clearly described.

The aims of your research need to be formulated precisely, stating clearly what the programme of research sets out to achieve. You must place your proposed research in the context of other work in the field and specify its relationship to previous research, in terms of theories and empirical work. It is important to cite key texts and indicate how the proposed research builds upon earlier work in the field. The methods of investigation you intend to pursue need to be described and you should give details, as appropriate, of:

- the location of the proposed research. e.g. when, where, etc.
- the rationale for the selection. e.g. sampling, case studies, etc.
- the methods to be used in the investigation. e.g. descriptive, experimental, etc.

  the instruments to be used or devised. e.g. computer equipment, questionnaires, etc.
- the techniques of analysis to be used.

It is also important for you to outline what you expect the outcomes of the research to be in terms of, for example, the construction of prototypes, the generation of principles or the formulation of theories and how these might contribute to the discipline. If you are proposing to extend the research via formal review, you need to indicate the progress you expect to make in the programme by the time you submit your formal review.

If you are intending to pursue your research by other than the standard form, such as through Exhibition, Performance, Creative Writing or other similar work, you need to indicate the form in which you would propose to present the outcomes of the research and the ways in which it might be assessed.

Applications for first project review for a research degree must be submitted in accordance with the format and procedures detailed in Procedure 6 and 7 and within the specified deadlines.

8. Formal Progression From Doctoral Researcher Programme to PhD

The deadlines to be adhered for submission of your formal review are as follows:

Mode of Study	Minimum Submission	Maximum Submission
Full-time	12 months from enrolment	15 months from enrolment
Part-time	18 months from enrolment	24 months from enrolment

You must submit your formal review, as appropriate, within these timescales. Failure to do so will result in the termination of registration.

You will be required to undergo a formal interview with the assessor in order to inform the decision of the internal assessor(s).

The point of formal review is a critical stage in the research programme and the application you make needs to show that the level of the work you have already completed has achieved what would be normally expected at Master of Philosophy level. It also has to show that this work has the potential to be developed to a level, which will meet the intellectual rigor expected of doctoral research.

Please note these deadlines are strict and must be adhered to.

8.1 Formal Review

You will need to complete the Formal Review Form on myResearch. To support your application, you need to provide a formal review report of between 5,000 and 10,000 words. The report should describe the work you have done and outcomes and conclusions reached. On the form, you need to provide a summary of the progress made in the research, which is an abstract of the formal review, of no more than 500 words. In addition to the abstract, you also need to provide an outline showing how the work you have already completed will be extended to meet the requirements of the PhD.

If you are registered for a research degree by Exhibition, Performance, Creative Writing or similar work, (Regulation 11.1), you should also present examples of the work you have completed to support your formal review, which in this case will be within the range of 3,000 - 5,000 words. The form in which you present your work must be appropriate to the nature of the work, such as, as an exhibition or a performance. You must also be prepared to discuss the work so presented with the Internal Assessor(s) if he/she wishes.

The process requires the supervisors to report on two aspects of the research programme. First, they need to comment on the student's progress on the programme of research as approved at first project review, which refers not only to the research project itself but also to the programme of related studies, including, the Researcher Development Programme. Secondly, they need to report on the quality and suitability of the plan for the future work with regard to its potential for achieving PhD level.

8.2 Nomination of Internal Assessors and Guidelines

In putting forward an application for formal review, the supervisor will be asked to nominate one member of university staff as potential Internal Assessor. The supervisor shall obtain the consent of the internal assessor prior to their possible appointment and in advance of submission of the formal review and form. The Faculty Head of Research Students or equivalent role (or nominee) approves the nomination for appointment as the Internal Assessor.
In order to assess the suitability of a formal review, Internal Assessors should take note that:

a) the MPhil is awarded for a critical investigation and evaluation of an approved topic and a demonstration of an understanding of research methods appropriate to the chosen field;

b) the PhD is awarded for a critical investigation and evaluation of an approved topic which results in an independent and original contribution to knowledge and an understanding of research methods appropriate to the chosen field;

c) the formal review should include a brief review and discussion of the work already undertaken and a statement of the intended further work, including details of the original contribution to knowledge which is likely to emerge.

After scrutinising the formal review and conducting the formal interview with the student, the Internal Assessor submits his/her report and makes the preliminary recommendation to recommend or not recommend that the formal review be approved by the Faculty Head of Research Students or equivalent role (or nominee).

Before approving formal review, the Faculty Head of Research Students or equivalent role (or nominee) must be satisfied that the student has made sufficient progress and that the proposed programme provides a suitable basis for work at PhD standard which the student is capable of pursuing to completion.

Applications for formal review must be submitted in accordance with the format and procedures detailed in Procedure 6 and 8 and within specified timescales.

9. Change in Approved Mode of Study

When you were registered for a research degree, approval was given for you to pursue your programme of research either full-time or part-time. If through a change of circumstances, such as change in your employment or in your financial position, you wish to change your mode of study from full-time to part-time, or vice versa, you must apply to the Faculty Head of Research Students or equivalent role (or nominee) for approval. A change in mode of study affects the date by which you will be expected to complete your programme of research. Guidance should be sought from the Graduate School on the revision of expected dates of completion.
No change of mode shall be considered following the commencement of the fee free completion period.

Overseas students who are studying full-time in the UK would have to prove that their visa status allows a change to part-time study.

You will need to complete the Change in Mode Request form on myResearch, on which you need to state the change you wish to make, indicating in consultation with the Graduate School, the date on which you wish the change to occur and putting forward a new date when you will expect to complete your studies. You also need to indicate the main reason for wishing to change your mode of study. Your application needs to be supported by your supervisors to indicate that they recommend the proposed change.

Applications for change in mode of study must be submitted in accordance with the format and procedures detailed in Procedure 6.

10. Change in Approved Arrangements for Supervision

The supervision team approved by the Research Degrees Committee Faculty Review Panel, see Procedure 7, at first project review is an integral part of the research programme. If there is a change in circumstances, such as one of your supervisors leaving the employment of the University or a shift in your research direction which requires different or additional subject expertise, it may be necessary to seek approval for a change in your supervisors. It is important to note that, in order to avoid potential difficulties, approval for any change in supervisors needs to be sought as soon as possible. Any proposals for a change in the supervisory team can only be made with the agreement of the student, and is the responsibility of the First Supervisor (or nominee).

You will need to complete the Change in Supervision Request form on myResearch. The reason for the change needs to be described and details of the proposed supervisory team given, under the procedure described in Procedure 6. If a new supervisor is proposed who has not been approved previously by the Research Degrees Committee Faculty Review Panel as a supervisor, the supervisor's curriculum vitae must be submitted with the application. The student must confirm to indicate that he/she is in agreement with the proposed change.

Applications for change in approved supervisory arrangements must be submitted in accordance with the format and procedures detailed in Procedure 6.

11. Extension of Period of Registration

The parameters for the periods of registration during which research degree programmes are expected to be completed are precisely set out in the Regulations. The start and completion dates for each research programme are approved by the relevant Research Degrees Committee Faculty Review Panel, see Procedure 7, at the time of first project review.

If, through a change of circumstances such as delays in acquiring essential equipment or ill health or other personal matters, you need to revise your research programme to go beyond the period of time approved at first project review, you can apply for your period of registration to be extended to take account of the changed circumstances. The maximum periods of time for which extension can be considered are twelve months for full-time students and eighteen months for part-time students. You should note that you will continue to be liable for fees during an extension period.

When submitting an Extension to Period of Registration form on myResearch, the student must produce a thesis outline agreed with the supervisor and can present such evidence to represent his/her case. An interview will be held, either face to face, or over the telephone, with an experienced internal assessor, appointed by the Faculty Head of Research Students or equivalent role. The Faculty Head of Research Students or

equivalent role will forward the recommendation to the Director of the Graduate School for approval.

The internal assessor will assess the application on the following criteria:

a) Substantial progress already made with respect to an agreed thesis outline;
b) Whether the work is still timely;
c) Availability of time and resources to complete the work;
d) Whether there has been a significant disruption of studies sufficient to warrant the extension requested, for example:
e) Supporting written evidence will normally be provided, for example:
   - Accidents (accompanied by a medical certificate).
   - Death of a close relative (accompanied by a death certificate).
   - Ill health (of the student, accompanied by a medical note).
   - Serious ill health of a close relative (accompanied by a medical certificate, especially where the student has to assume the role of carer).
   - Unexpected events e.g. theft (accompanied by a police report), equipment not being delivered or failing equipment.
   - Parental leave (the student should make a request before the leave is due to begin).
   - Problems beyond the control of the student (e.g. problems originating in the school, such as the supervisor leaving the university).

Examples which are unlikely to lead to agreement on extension:

- Where a student has been registered on a full-time basis and is making a request on the basis of "pressures of work" in connection with employment.
- Where the request is based on the grounds that the student has got married/honeymoon period. This should normally be taken from the student's annual leave entitlement.
- Where there is no clear relationship between the amount of extra time being requested and the problem being encountered by the student.

Applications for extension of period of study must be submitted in accordance with the format and procedures detailed in Procedure 6.

12. Interruption of Registration

Where you are prevented from carrying out all aspects of the research, by a good cause, you may apply for your registration to be interrupted. Short interruptions for example short breaks due to illness, will not warrant the granting of an interruption.

Applications must be made to the Faculty Head of Research Students or equivalent role (or nominee), using the appropriate form on myResearch and with the authority of the First Supervisor (or nominee). The application shall be considered which may grant an interruption of study normally for not less than six months or more than one year in the first instance. The Faculty Head of Research Students or equivalent role, or nominee, interviews the student, if necessary, and forwards a recommendation to the Director of Graduate School for approval.

The application will be assessed as to whether there has been a significant disruption of studies sufficient to warrant the interruption requested,

Supporting written evidence will normally be provided, for example:

- Accidents (accompanied by a medical certificate).
- Death of a close relative (accompanied by a death certificate).
- Ill health (of the student, accompanied by a medical note).
- Serious ill health of a close relative (accompanied by a medical certificate, especially where the student has to assume the role of carer).
- Unexpected events e.g. theft (accompanied by a police report), equipment not being delivered or failing equipment.
- Parental leave (the student should make a request before the leave is due to begin).

The Panel will not consider retrospective interruptions. Exceptionally, a retrospective interruption may be granted by either the Director of the Graduate School or nominee.

Fees are not payable during an interruption of registration because it is assumed that resources, such as library study and/or lending access and access to the supervision team are not being used. If supervision continues, then the student status reverts to active fee paying.

If interruption of registration is approved, the Graduate School will notify relevant departments within the University to ensure that your enrolment is also interrupted for the same period. An extension of an equal duration to the Interruption will be added to the student timeline. If an equal extension is not required the relevant question on the Interruption from should be completed accordingly. On your return to the University, the Graduate School needs to be informed that you are resuming your studies. It is not necessary to apply for **registration** for the research degree to be restored but it is necessary for you to complete the **re-enrolment** procedure with the Graduate School (where relevant).

Applications for interruption of registration must be submitted in accordance with the format and procedures detailed in Procedure 6.

Students still in their probationary period who wish to interrupt their studies should complete the relevant form, the minimum period to be granted during the probationary period shall be two months. See Regulation 3.7. The application should be submitted to the Graduate School as soon as the student is aware of the necessity to interrupt his/her studies.

13. Notification of Withdrawal of Registration

You may find that, for a variety of reasons, such as ill-health, change of employment or financial problems, you are not able to continue with your programme and that it is necessary to seek formally to withdraw your registration. In exceptional cases, supervisors may consider it advisable to seek the termination of a student's registration.

A student can request withdrawal from the programme at any time. The Panel will not consider retrospective withdrawals.

The Withdrawal Request form will need to be completed on myResearch. In most cases, the form is completed by the student, indicating, from the list of possibilities provided on the form, the main reason for wishing to withdraw. If the student is unavailable to complete the form, the first supervisor may do so, giving the reasons for the student's unavailability.

You will be subject to an exit interview which will normally be carried out by the first supervisor.

Notifications of withdrawal of registration must be submitted in accordance with the format and procedures detailed in Procedure 6.

Please note that failure to formally withdraw from the programme will result in you being charged fees until such time as you do formally withdraw.

14. Approval of Examiners

Students for research degrees are examined on the basis of the submitted thesis and through the defence of the thesis in an oral examination (viva voce). Applications for the approval of examiners are prepared by the supervisors as defined by the Graduate School procedures. The form in myResearch requires the nomination of the examination team and the date the examination is expected to take place for the approval of the Faculty Head of Research Students or equivalent role and the Director of the Graduate School.

14.1 Normally, the examining team for a research degree consists of:

a) an External Examiner, who is external to and independent of the university or the collaborating establishment, and

b) an Internal Examiner, who is a member of staff of the university.

14.2 As a whole, the examining team is expected to have:

a) substantial experience in examining research degree students at the level of the degree in question; and

b) substantial knowledge of current research relating to the subject area of the submission.

In selecting individuals to be nominated as examiners and with regard to Regulation 16, the supervisors need to take a wide range of matters into account, which include:

i) in order to be able to take a detached view of the student's work, the examiners who are nominated shall be independent of the student and

his/her work in that they shall not have provided any guidance in respect of the context or structure of the thesis or other submitted work.

ii) if the student is a member of academic staff of the University at the time of examination, it is a requirement that two External Examiners are nominated as well as an Internal Examiner. This shall apply to all staff on permanent academic or professional services contracts, whether full time or part time. Staff on fixed term or hourly paid contracts may be exempt from this requirement but, in such cases, where the staff member is working in a close collegial relationship with permanent staff (for example as a research and/or teaching fellow) the requirement for two examiners will normally be applied, subject to consideration by the Faculty Head of Research Students or equivalent role and the Director of Graduate School,

iii) for PhD students at least one examiner shall normally hold a PhD,

iv) a person who is a student for a research degree cannot be nominated to be a examiner for another student,

v) in the case of PhD students who have undertaken formal review, the Internal Assessor at the formal review stage cannot normally be nominated to be an examiner.

vi) external examiners must evidence their eligibility to work in the United Kingdom to the Graduate School,

vii) former members of university staff are not normally eligible for nomination as external examiners until three years after the termination of their employment in the university.

If an examiner is nominated who has not previously served as a research degree examiner at the University, it is necessary for a copy of his/her curriculum vitae to be submitted with the application.
An application for approval of examination arrangements must be submitted **at least 3 months** prior to the submission of the examinable thesis. If the examination does not take place within 12 months of the proposed examination date, the first supervisor will be asked by the Graduate School to confirm that the approved examining arrangements are still valid and to set a new examination date. If the examination has not taken place within 18 months of the original proposed examination date, a resubmission of the examination arrangements may be required, Applications for approval of examination arrangements must be submitted via myResearch in accordance with the format and procedures detailed in Procedure 6.

14.3 A student will complete a declaration form in myResearch upon submission of the thesis for examination which confirms that:

a) the work was solely conducted during the registration for the award with the University, under University supervision; *or*

the nature and extent of any exceptions must be specified.

b) no material used in the thesis was used in any other submission; *or*

indicate nature and extent of any material which forms part of the submission elsewhere.

c) the work re-presented in the submission was undertaken solely by the student, except as described under Regulation 2.10.

15. Administrative Conduct of Examinations

When the Faculty Head of Research Students or equivalent role and the Director of the Graduate School has approved the examination arrangements, the examiners will be notified of their appointments. The student's First Supervisor will receive copies of the correspondence.

The instructions given to examiners will be explicit in that they will be made aware that if they write on the thesis the student may eventually get to see such comments.

It is the responsibility of the First Supervisor to make the specific arrangements for the examination, including the date, time, location and hospitality. **The Graduate School must be notified of these arrangements immediately they have been finalised**.

15.1 Submission of Theses

The student should submit as many identical copies of the glue-bound thesis as there are examiners to the Graduate School, at least one month prior to the date of his/her examination, and should bring to the viva voce a further identical copy for their own use. If under Regulation 17.4 the student has requested that his/her supervisor be present then a further copy shall also be provided for use by the supervisor. Students are required to submit an electronic copy of the thesis which is identical in content to the hard-copy version of the thesis for computerised analysis according to the procedure defined by the Graduate School.

The Graduate School will send the copies of the thesis and the pre-viva form to the Examiners along with other relevant documentation. The First Supervisor will be informed when this has taken place and sent the viva document, 'Examiners' Report Form for Candidates for research degrees (Doctor of Philosophy and Master of Philosophy).

15.2 The Oral (Viva Voce) Examination

The student's first supervisor is responsible for ensuring the smooth running of the examination, and **must be** available at all times, while the examination is in progress.

One of the student's supervisors who is not an examiner shall normally attend the viva voce examination, unless the student has expressed a wish to the contrary. The purpose of this is to assist the student and examiners with matters of clarification only and not to participate in the viva voce. Attendance by a supervisor is not compulsory but if the student feels that this would be helpful, the University then expects the supervisor to be at the viva voce.

At the completion of the viva voce examination, the student and other persons attending the examination must withdraw from the examination room before the examiners begin their deliberations to determine the result of the examination. Following their deliberations:

a) the 'Examiners' Report form for candidates for Research Degrees' and where relevant the 'Statement of theses Deficiencies' or the 'Statement of Reasons for Failure'.

b) Student Declaration Form: to be completed by the student in myResearch.

Where applicable, forms must be completed via myResearch within three working days.

Following the viva voce, it will be the responsibility of the internal examiner to collect the copies of the thesis which the examination team hold and to retain the copies until the award is conferred upon the student. This ensures the University has copies of the thesis in the event of an appeal.

Once the award is conferred the internal examiner shall hand the copies back to the student or confidentially waste.
If on the examination report the examiners state that the students should carry out the corrections as stated on the thesis, this shall override the points above. This will be communicated to examiners in the initial letter of appointment.

15.3 Amendment to Theses

When amendments to the thesis, as indicated on the 'Statement of Theses Deficiencies' form have been completed, copies of the thesis should be forwarded to the Graduate School so that the relevant documentation can be distributed.

15.4 Examination of an Amended Thesis

Copies of an amended thesis are sent to the Examiners separately, who must confer in reaching a recommendation, including whether or not they wish to re-examine

the student in a further oral examination when this had been previously recommended under Regulation 18.2, and submit their joint recommendation to the Graduate School on the appropriate form. In the case of disagreement, the Examiners must submit separate recommendation forms in accordance with Regulation 19, *Disagreement Amongst Examiners.*

The decisions of the examiner(s) regarding an amended thesis submitted under Regulation 18.2 c) are normally limited to:

a) a recommendation for the award of a degree (Regulation 18.2a)

b) a recommendation that no degree should be awarded (Regulation 18.2e)

15.5 Lodging of Thesis

When the viva voce documentation clearly recommends the award of the research degree or when any required amendments have been completed and approved by the examiners, the student is required to submit an electronic copy of the final version of the thesis. This must be lodged with the Graduate School as soon as possible.

15.6 Conferment of the Research Degree

Following the receipt of completed examination documents and the electronic thesis the form DMU REC will be completed by the Graduate School and the recommendation for the award of a research degree will be forwarded to the Vice-Chancellor or nominee.

If the regulations are adhered to the Vice-Chancellor (or nominee) will sign a conferment list, which officially confers the degree. A degree parchment will then be produced and normally will be sent to the student and he/she will be invited to attend a Graduation Ceremony.

Guidance Notes for Examiners

De Montfort University

2017

Guidance Notes for Examiners

1. Introduction

These Guidance Notes are issued by the Graduate School and are intended to assist examiners and supervisors in their preparation for and conduct of examinations of candidates for the degrees of Master of Research, Master of Philosophy and Doctor of Philosophy. They are based on the Research Degree Regulations and Procedures of De Montfort University.

2. Responsibilities in Relation to the Examination Process

The respective responsibilities of the Supervisor, the Examiners and the Graduate School are as follows:

2.1 The First Supervisor (or Second where necessary)

a) to complete the Examination Arrangements form on myResearch at least three months prior to the submission of thesis and submit the form together with a copy of the External Examiner's CV to the Graduate School for approval by the Faculty Head of Research Students or equivalent role and the Director of the Graduate School. Ensure evidence is provided that confirms the External Examiner is eligible to work in the United Kingdom to the Graduate School. To inform the examination team of their nomination and of the subsequent approval;

b) to make the administrative arrangements for the oral examination, this involves consulting the student and the external and internal examiners as appropriate, notifying all concerned of the date, time and place of the oral examination and attending the examination to answer questions, unless the student has expressed a wish to the contrary;

c) to complete Section B of the 'master copy' of the Examiners' Report Form and to pass this to the internal examiner immediately before the examination. The report must provide contextual information on the student's work, e.g. mentioning any technical problems experienced during the research or any personal difficulties faced by the student;

d) following an examination where examiners require minor corrections or major revisions to be made to the thesis, to obtain details of these from the examiners and to pass them onto the student. The 'Statement of Thesis Deficiencies' or the 'Statement of Reasons for Failure' should be completed as soon as possible after the examination is concluded and **definitely within 20 days of the examination.**

2.2 All Internal and External Examiners

a) to read the thesis as soon as possible after they receive it and to make themselves available to conduct the oral examination as soon as practicable. The University aims to ensure that all candidates are examined as soon as possible and no later than ten weeks after submission of their thesis. This applies to re-submissions also;

b) to prepare written notes on the thesis and to **complete the independent pre-viva form and submit to the Graduate School 5 days prior to the date of the oral examination**. These notes and pre-viva forms should form the basis of discussion with other examiners immediately prior to the oral examination;

c) jointly with the other examiners, to complete Section C of the Examiners' Report Form and, where applicable, the 'Statement of Thesis Deficiencies' in myResearch or the 'Statement of Reasons for Failure'. This should be done as soon as possible after the examination is concluded and **definitely within 20 days of the examination.**

2.3 The Internal Examiner has particular responsibilities to ensure that:

a) Those present at the viva understand the university's examination procedures, and the conduct expected during the viva examination itself.

b) An agreed recommended outcome of the examination process is stipulated (as in regulation 18.2), paying particular attention to noting the examiners' agreement as to whether a second viva examination is required.

c) A coherent joint summative report on the thesis is completed following the examination. **This should include an overall evaluation of the thesis with the examiners' view of its strengths and weaknesses and a clear evaluation of the contribution to the field made by the thesis.** Where major revisions are required the report should relate clearly to the separate statement of thesis deficiencies which should be completed via myResearch. The statement of thesis deficiencies should be as unambiguous as possible with sufficient detail to allow the student to respond to the examiners' requirements. These requirements may be verbally summarised for the candidate following the viva, but should not be regarded as official notification of the result of the examination (see regulation 17.9).

2.4 The Experienced Internal Examiner

a) to ensure that the completed Examiners' Report Form is passed to the Graduate School as soon as possible and within three working days of the oral examination at the latest. Where appropriate the 'Statement of Thesis Deficiencies' or the 'Statement of Reasons for Failure' should be completed within 20 working days of the oral examination;

b) if the examiners have decided that minor corrections are required, to consider these (in association with any other internal examiners) once submitted and to notify the Graduate School without delay whether or not they are satisfactory. The Graduate School will provide a form for such notification.

Until such time as the award is conferred upon the student, the internal examiner is required to retain one copy of the thesis collected at the viva voce.

2.5 The Graduate School

a) to give formal notification to all examiners of their appointment by the Faculty Head of Research Students or equivalent role and the Director of the Graduate School;

b) to dispatch copies of the thesis to all examiners as soon as it has been formally submitted by the student and examination arrangements have been approved, together with these guidance notes;

c) to dispatch a copy of the thesis to the Supervisor, along with these Guidance Notes including the 'master copy' of the Examiners' Report Form, with Section A completed and request that he or she makes the administrative arrangements for the oral examination;

d) to notify the candidate of the result of his/her candidature upon receipt of the completed Examiners' Report Form.

3. The Oral Examination

3.1 All students are examined orally in English on the programme of work and on the field of study. However, in cases of sickness, disability or comparable valid cause, an alternative form of examination may be approved (see Regulation 17.5). Such cases require the approval of the Director of the Graduate School on behalf of the Research Degrees Committee on the recommendation of the examiners.

3.2 The purposes of an oral examination are:

a) to establish that the submitted work is that of the student;

b) to give the student the opportunity to defend the direction, structure and conclusions of the work. This involves the examiners making constructive criticisms of both the research and the thesis and giving the student the opportunity to respond;

c) to explore with the student any particular issues in the thesis or submitted work which require clarification or development. This is particularly important in cases where the examiners feel that their final decision may be other than an unconditional pass;

d) to test the student's personal eligibility for the award of the degree by exploring his/her understanding of issues arising in and from the research and of the relationship of the research to the wider field of knowledge. In the case of a PhD, the student should be able to demonstrate his/her understanding of the nature and extent of the original contribution to knowledge entailed in the research;

e) the degree of Master of Philosophy (MPhil) and the degree of MA/MSc by Research is awarded to recognise the successful completion under such conditions as are prescribed by Regulations, of a supervised programme of individual research, the results of which have been satisfactorily embodied in a thesis together, under certain circumstances, with another form of presentation as defined in Regulation 1.8 and which:

- demonstrate an understanding of research methods appropriate to the field of study; and
- demonstrate critical investigation and evaluation of the topic of research.

3.3 One of the student's supervisors who is not an examiner shall normally attend the oral examination, unless the student has expressed a wish to the contrary. The purpose of this is to assist the student and examiners with matters of clarification only and not to participate in the viva. Attendance by a supervisor is not compulsory but if the student feels that this would be helpful, the University then expects the supervisor to be at the oral examination.

3.4 Oral examinations must normally take place with the student and the examination team present at the same location.

3.5 The recording of the proceedings of the oral examination, by any method, is normally prohibited.

3.6 There will normally be at least two examiners present - one external examiner who is independent of De Montfort University and one internal examiner.

3.7 The oral examination should normally last between two and three hours. The pattern for each particular oral is for the examiners to determine; but in most cases the examiners will wish to focus on a detailed consideration of the research, its methodology and its findings. In some cases, however, the examiners may wish to focus on a discussion of broader aspects of the research process or findings, or the implications for policy/research, or publication possibilities. For this, the student could be invited to highlight aspects or issues that appear most important or interesting.

3.8 The intention is that oral examinations should be constructive and stimulating for all participants. The students should expect to be challenged on their ideas, but should be assured that the experience is intended to be helpful and positive. In preparation, students are advised to re-familiarise themselves with their thesis,

make their own assessment of its strengths and weaknesses, and try to anticipate issues that are likely to be raised. The student must bring a copy of the his/her thesis with them to the oral examination.

No communication shall be made with a student for the award of a distinction of the University which purports to be, or might reasonably be taken to be, official notification of the results of the candidature, except by the Graduate School on behalf of the Director of Student and Academic Services.

4. Academic Standards

4.1 The Degree of MA/MSc by Research and the Degree of Master of Philosophy (MPhil)

The degrees of MA/MSc by Research or the MPhil are awarded to recognise the successful completion, under such conditions as are prescribed by Regulations, of a supervised programme of individual research, development or design, the results of which have been satisfactorily embodied in a thesis (or other presentation as defined in Regulation 11), and which:

a) demonstrate an understanding of research methods appropriate to the field of study; and

b) demonstrate critical investigation and evaluation of the topic of research.

4.2 The Degree of Doctor of Philosophy (PhD)

The degree of PhD is awarded to recognise the successful completion, under such conditions as are prescribed by Regulations, of a supervised programme of individual research the results of which have been satisfactorily embodied in a thesis (or other presentation as defined in Regulation 1l), and which:

a) demonstrate an understanding of research methods appropriate to the field of study; and

b) demonstrate critical investigation and evaluation of the topic of research; and

c) constitute an independent and original contribution to knowledge; and

d) demonstrate the student’s ability to undertake further research without supervision.

For variations from the standard research programme see Regulation 11.

5. The Examiner's Recommendation

5.1 Regulation 18 provides for examiners to make one of the following principal recommendations:

a) the student should be awarded the degree sought; or

b) the student should be awarded the degree sought, provided that minor factual amendments and corrections in the submitted work are made to the satisfaction of the nominated examiner(s) within a specified period not exceeding three months from the notification of the result to the student;

c) the student be permitted to re-submit for the degree sought and be re-examined as follows:

   i) the thesis to be revised and if deemed satisfactory by the Examiners, the student will be exempt from further examination, oral or otherwise; or
   ii) the thesis to be revised and the candidate must undergo a further oral or alternative examination; or
   iii) the thesis is satisfactory, but the candidate must undergo a further oral examination or other such examination as the examiners shall specify.

   In this case the examiners shall specify the maximum period open to the candidate to re-submit, this period is not to exceed 12 months. The maximum period shall date from the notification of the result to the student.

   Examiners shall not make recommendations 18.2 c) if they are examining a student who is already re-presenting *unless* the re-presentation is the outcome of an appeal.

d) if a student for PhD (including PhD by Concurrent Publication), the student should be awarded the MPhil, if appropriate, subject to corrections on the basis stated in 18.2 b) above. Examiners must only make this recommendation for positive achievement by the student in accordance with 4.1 above;

e) the student should not be awarded any degree and should be given no further opportunity of examination;

f) the examiners may also offer a PhD student a choice between accepting an MPhil as in 18.2d) or requiring major revisions over a period of time as in 18.2c) to achieve PhD. The student shall be given no more than two weeks to select the route that they wish to follow.

Before forwarding a recommendation for the award of a degree to The Graduate School the examiners must be satisfied that the format of thesis is in accordance with the University's regulations (see Regulation 15).

Before reaching a recommendation, the examiners may require a further examination additional to the oral examination.

Where examiners recommend in the terms set out in Regulations 18.2 b), c) or d) they shall provide the student and the Graduate School with a written statement, on form 'Statement of Thesis Deficiencies', concerning the deficiencies of the submission or examination and a date by which these amendments are to be completed and returned to the First Supervisor.

Where the examination team are recommending the student should be awarded the degree sought 'subject to minor amendments and corrections' we would ask they consider an appropriate length of time. In some circumstances three months might be too long, and examiners are encouraged to specify a shorter time in these instances.

5.2 Distinction Between 'Minor Factual Errors' and 'Revise and Re-Present'

There is a substantive difference between 5.1 b) which is a conditional pass and 5.1c).

The award of a conditional pass would normally be appropriate if all that is required is editorial, typographical and grammatical corrections, or the correction of presentational shortcomings not seriously impairing the argument of the thesis. On the other hand, revise and re-present would be appropriate where technical content was deficient or where errors of presentation had fundamentally and comprehensively impaired the argument and substantial re-writing was required, for example, the inclusion of new data, fieldwork or practice, new analysis, or substantial new additions to literature would be major amendments.

A practical test of the distinction between is whether the external examiner wishes to see the thesis again. If he or she does so wish then the recommendation should be not to award the degree but to permit the student to resubmit the thesis and be re-examined as outlined in 5.1c) above. If the examiners believe that the thesis can readily be brought to an acceptable standard and does not need his or her further inspection then the student can be passed subject to minor amendments.

5.3 Distinction Between 'Revise and Re-Present' and 'Fail'

Where the thesis is the sole or major element for examination, it should normally only be 'failed' on first submission if the examiners consider that the work could not form the basis of an acceptable thesis at a second attempt. Otherwise, the decision should be 'revise and re-present'.

5.4 Decision to recall the student for further oral or other examination

Where examiners require revision of a thesis in 5.1 c), careful consideration should be given as to whether the candidate should undergo further oral (or other) examination. Practical tests of the distinction are:

i) Whether carrying out the revisions requires significant new work (such as the gathering of new or additional data and/or any new analysis) that may affect the results and conclusions of the study, such that oral defence of the revised thesis and its findings is likely to be necessary;

ii) Whether the candidate's knowledge of research methods and the field of study in general require a level of professional development that can only be evaluated by further oral examination ;

iii) Otherwise, where the examiners are of the view that the specific requirements of the viva voce examination (regulation 17.2) have fallen short of an acceptable standard;

In any event, the decision made by the examiners in respect of the above will be adhered to. Any requirement for, or waiver of, further oral or other examination specified shall be binding.

6. Statement of Thesis Deficiencies

Where examiners recommend a student should not be awarded the degree sought, but should be afforded the opportunity to revise and re-present the thesis within a specified period, they should provide specific written advice as to the deficiencies or inadequacies of the thesis. Accordingly they should complete the 'Statement of Thesis Deficiencies' in myResearch, together with the Examiners' Report Form.

7. Statement of Reasons of Failure

7.1 Where the examiners recommend that a student should not be awarded the degree sought and should have no further opportunity of examination, the student has the right to appeal. If the student appeals, he/she must be provided with a statement giving reasons for failure. The statement should be as full as practicable whilst safeguarding the confidentiality of the examining process.

7.2 In order to save time during the appeal process and to avoid troubling examiners further, it is most helpful if the examiners complete the 'Statement of Reasons for Failure' at the same time as they complete the Examiners' Report Form, and return to the Graduate School immediately after the oral examination.

8. Lack of Agreement Among Examiners

Should the examiners, despite their best efforts, fail to agree on a joint recommendation, the provisions of Regulation 19 will apply and separate reports are required. If two or more examiners are of the same view they should submit a joint report and any other examiners should submit individual reports; otherwise all examiners should report individually. The standard Examiners' Report Form should be used in all cases, but clearly marked '**NOT** AN AGREED RECOMMENDATION - SEE REPORTS OF OTHER EXAMINERS'.

Guidance Notes for Annual Review Panels

De Montfort University

2017

Annual Review Panel Guidance Notes

1. Introduction

These Guidance Notes are issued by the Graduate School and are intended to assist research degree students, supervisors and independent assessors in the conduct of Annual Review Panels. They are based on the Research Degree Regulations and Procedures of De Montfort University.

2. Regulation Surrounding the Annual Review Panel

Regulation 12.1:

Progress is subject to annual review by a panel of at least three research active and relevant academics, including representation of the supervisory team and at least one member who is independent of the supervisory team. Feedback shall be part of this process. If a student is transferring or requires an extension at the time that annual review is due then this shall form part of the discussion.

The annual review shall also include consideration of:

b) the student's progress with the Researcher Development Programme, as informed by the initial Training Needs Analysis (see regulation 4.1);

c) any necessary change in the Training Needs Analysis consequent on the progress of the project;

c) where applicable, a review of the student's Personal Development Plan.

All enrolled students, excluding MA/MSc by Research, shall undertake the Annual Review Process. This excludes students whose enrolment is interrupted.

3. Purpose and Timing of the Panel

3.1 The purposes of an annual review panel:

a) to explore the progress of the student since initial enrolment or last panel meeting;

b) to ensure that the student is on track to complete the award for which he/she is registered within the agreed time-scale (which should be within the remaining period of registration);

c) to monitor training requirements and schedule set out in the Training Needs Analysis. Where applicable, to review the student's Personal Development Plan;

d) where relevant, to consider the 'Application for Extension of Period of Registration' for consideration by the relevant Faculty Head of Research Students or equivalent role and Director of the Graduate School.

3.2 The Annual Review Panel should ideally be held at 12 monthly intervals following initial enrolment. The review is due annually around the anniversary of enrolment. This should exclude any period of Interruption of Registration. However it is acceptable to hold it between 10 and 14 months after initial enrolment and subsequently within two months of the anniversary of the original enrolment date.

Full-time students who are registered on the Doctoral Researcher Programme will not be required to have an annual review in year one and part-time students on these routes will not be required to have an annual review panel meeting in year two. It is expected students will concentrate on formal review during this time.

Once the student has submitted the examinable thesis further Annual Review Panels shall not be required. The only exceptions to this is are where the examiners have invoked Regulation 17.3 whereby the viva voce shall be postponed whilst the student makes further revisions or if a student receives a viva voce outcome of 18.2c) and is permitted to re-submit for the degree sought, the student is required to resume participation in the annual review process, which the first supervisor will arrange.

3.3 The Annual Review Panel may take place face-to-face, via video conferencing or telephone conference as long as all parties can speak and hear at all times.

3.4 The Annual Review Panel is expected to last approximately one hour.

3.5 There is an expectation that students will meet Regulation 6.1f), the whole supervision team should meet with the student at least once a year. The Annual Review is perhaps the best time for this to occur.

4. Appointment of Independent Assessor(s)

4.1 The Independent Assessor(s) should:

a) be qualified to supervise, having attended the Certificate in Research Supervision (CRS) and having been a member or currently still being a member of a supervisory team for a research degree student;

b) normally have some relevant subject specific expertise.

4.2 It may be that the supervision team feel it would be helpful for the Independent Assessor to be used for more than one of the annual reviews to give continuity, this is acceptable.

4.3 The Independent Assessor can act as Internal Examiner **unless** they were involved in assessment of the formal review.

5. Responsibilities in Relation to the Annual Review Process

The respective responsibilities of the Supervisor, the Research Degree Student and the Independent Assessor are as follows:

5.1 The First Supervisor (or Second Supervisor where necessary)

a) To complete the relevant forms on the Annual Review milestone on myResearch once the student has submitted their form.

b) To ensure that the administrative arrangements for the Annual Review Panel are made, consulting the student and independent assessor(s) as appropriate, notifying all concerned of the date, time and place of the panel meeting. Failure to arrange the Annual Review meeting within 6 months of the anniversary date shall result in the supervisor no longer being entitled to accept any new research students for supervision.

c) Following the panel meeting all forms on the Annual Review milestone to be submitted to the Graduate School for processing.

d) To consider whether an Extension to Period of Registration' should be considered by the Annual Review Panel and if so to discuss completion with the student.

   Following the panel meeting the application shall be sent to the Graduate School for processing.

e) To include, as part of the review, monitoring of the progress of the student on their research and also to monitor training needs.

f) Where applicable, to review the student's Personal Development Plan.

5.2 Research Degree Student

a) To complete and submit the Annual Review: Student Form on myResearch.

b) Where the student wishes the assessor to consider an 'Application of Extension of Registration', (this is relevant when the student expects his/her registration shall expire within the next 12 months and before they have submitted an examinable thesis to the Graduate School), he/she should complete and submit the relevant form on myResearch in advance of the panel meeting.

5.3 Independent Assessor(s)

a) To read relevant material submitted by the student in advance of the meeting.

b) To attend the Annual Review Panel and carry out the panel meeting along with at least one member of the Supervisory team. The Independent Assessor shall provide impartiality in the proceedings.

c) To complete the Annual Review: Independent Assessor form on myResearch.

Regulations for Higher Doctorates

De Montfort University

2017

1. Constitution and Terms of Reference of the Higher Doctorates Panel

In exercising its delegated powers to recommend academic awards, which include Higher Doctorates, and as set out in the Research Degrees Committee Terms of Reference, where an application to be considered for a Higher Doctorate is recommended by a Dean of Faculty the Research Degrees Committee shall appoint a Higher Doctorates Panel with membership appropriate to:

- receive and consider the application and determine whether it meets, prima facie, the criteria for examination;

- appoint examiners and approve examination arrangements;

- receive and consider reports and recommendations from examiners and, where appropriate, recommend the granting and conferment of a Higher Doctorate of the University.

i) Membership

Category 1 – A Pro Vice-Chancellor
2 – A Dean of Faculty
3 – A Head of School who holds a Professorial Chair
4 – A Reader or Professor with at least 7 years Post-Doctoral research standing

ii) Terms of Reference

a) To receive applications from candidates for Higher Doctorate Degrees and determine whether they meet, prima facie, the criteria for consideration as detailed in 3 below.

b) To appoint examiners and approve examination arrangements in accordance with the provisions set out in these regulations.

c) To receive reports and recommendations from the examiners of registered candidates and in appropriate cases, recommend to the Vice-Chancellor (who acts on delegated authority from the Academic Board for the conferment of academic awards) the granting and conferment of Higher Doctorates of the University.

2. Eligibility

The University's Ordinances (September 2007) provide the following definition:

Higher Doctorates (DEd, LLD, DLitt, DSc, DTech)

The award of Higher Doctorate is awarded to a candidate who is the holder of at least 7 years standing of a first degree or holder of at least 4 years standing of a masters or higher degree, who is a leading authority

in the field of study concerned and has made an original sustained and substantial contribution of high distinction to the advancement or application of knowledge in that field.

To be eligible to submit for a Higher Doctorate an applicant must be a graduate of the University, or a graduate or Diplomate of the former Leicester Polytechnic or a member or former member of the Academic Staff of the University. Graduates of the University may submit 7 years after having had conferred the degree of Bachelor or Masters, 4 years after having had conferred the degree of Doctor of Philosophy. Academic staff must have been in post 7 years.

3. Application

i) There shall be no standard form of application which a candidate must use, but each applicant would be expected to give relevant CV information in addition to the published material which forms the substance of the candidate's submission which should also contain a proposed summary title to be associated with the Higher Doctorate if awarded.

There must also be submitted a statement which includes:

a) a list of the candidate's publications in which are marked those which contain the main substance of the submission. Where publications are co-authored there should be a statement on the extent of the candidate's own contribution to each such paper.

b) a statement on the overall direction and focus of the work, to include a brief guide to the nature and importance of the publications so marked;

c) a declaration of what part of the publications, if any, has been submitted by the candidate, or collaborators, for a degree of this or any other University, or of any professional body or learned society.

ii) Each application shall be submitted to the Secretary of the Research Degrees Committee through a sponsoring Faculty of the University with a supporting statement from the Dean of the Faculty

iii) On receipt of such an application the Research Degrees Committee will establish a Panel to consider the application as indicated in 1 and 2 above.

4. Prima facie consideration by Panel

i) The Higher Doctorate Panel, once constituted, will consider the applicant and determine whether it meets prima facie the criteria. Where in particular cases it is deemed necessary, the Panel may seek the views of appropriately qualified persons external to it to assist in reaching a decision.

ii) Where applications are approved the Higher Doctorate Panel shall proceed to appoint two examiners to consider the application, one of whom may be an internal examiner, save that where the applicant is a current member or employee of the University, where two external examiners shall be appointed.

5. Examination

i) The examiners shall submit individual reports independently prior to discussing the award; this shall be submitted to the Secretary of Research Degrees Committee.

ii) The examiners shall then submit a joint recommendation to the Secretary for consideration by the Higher Doctorate Panel.

iii) Where the examiners cannot reach a joint recommendation, they should submit individual recommendations. A further external examiner shall be appointed by the Higher Doctorate Panel who shall be given access to the original reports and shall make a final recommendation.

iv) There shall be no provision for application by the candidate or other person(s) for re-examination of a candidate's submission beyond the stage set out in iii) above, save that in the event of the Higher Doctorate Panel not accepting the recommendation of the examiners, a recommendation may be made by the Research Degrees Committee to the Academic Board for some other course of action. The Academic Board's decision on such matters so referred shall be final.

6. Fees

A fee to cover academic and administrative costs must be paid to the University by the candidate together with two copies of the published work submitted with the application.

7. Retention of Publications

One copy of the work submitted in support of a successful application shall be retained by the University and shall be available for consultation for scholarly purposes by its members.