

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.