

OXFORD BROOKES UNIVERSITY

RESEARCH DEGREE REGULATIONS

Regulations for the award of the University's degrees of Master of Philosophy, Doctor of Philosophy and the Research Component of the Professional Doctorate

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1. **Principles**

- 1.1 Oxford Brookes University (hereinafter referred to as 'the University') shall award the degrees of Master of Philosophy (MPhil), Doctor of Philosophy (PhD) and Professional Doctorates D(Subject), to registered candidates who successfully complete approved programmes of supervised research.
- 1.2 Programmes of research may be proposed in any field of study subject to the requirement that the proposed programme is capable of leading to scholarly research and to its presentation for assessment by appropriate examiners. The written thesis may be supplemented by material in other than written form. All proposed research programmes shall be considered on their academic merits and without reference to the concerns or interests of any associated funding body.
- 1.3 The MPhil shall be awarded to a candidate who, having critically investigated and evaluated an approved topic and demonstrated an understanding of research methods appropriate to the chosen field, has presented and defended a thesis by oral examination to the satisfaction of the examiners.
- 1.4 The PhD shall be awarded to a candidate who, having critically investigated and evaluated an approved topic resulting in an independent and original contribution to the field and demonstrated an understanding of research methods appropriate to the chosen field, has presented and defended a thesis (or other methods for visual and performing arts) by oral examination to the satisfaction of the examiners.
- 1.5 The University Research Degree Regulations will also apply to the research component for the award of Professional Doctorate.

2. **Entry requirements**

- 2.1 An applicant for registration for the degree of MPhil or MPhil with the possibility of transfer to PhD shall normally hold a first or upper second class honours degree of a Higher Education Institution in the UK or a qualification which is regarded by the Research Degrees Committee as equivalent to such an honours degree.
- 2.2 An applicant holding qualifications other than those in paragraph 2.1 shall be considered on the applicant's merits and in relation to the nature and scope of the programme of work proposed. In considering an applicant in this category, the Research Degrees Committee shall look for evidence of the candidate's ability and background knowledge in relation to the proposed research. Professional experience, publications, written reports or other appropriate evidence of accomplishment shall be taken into consideration. Where appropriate prior experience or certificated learning will be credited according to the requirements of the specific programmes. An applicant may be required to pass an externally assessed qualifying examination at final year honours degree level before registration is approved. An applicant wishing to be considered under this regulation shall include in the application for registration the names of two suitable persons whom the School shall consult concerning the candidate's academic attainment and fitness for research.

- 2.3 Direct registration for the degree of PhD may be permitted to an applicant who holds a Master's degree awarded by a UK Higher Education Institution or an overseas Master's degree of equivalent standard, provided that the Master's degree is recent and is in a closely related discipline which is appropriate to the proposed research and that the Master's degree included training in research and the execution of a research project. The Research Degrees Committee may also register a candidate for PhD direct who, although lacking a Master's degree, has a good honours degree (or equivalent) in an appropriate discipline and has had appropriate research or professional experience at postgraduate level which has resulted in published work, written reports or other appropriate evidence of accomplishment.
- 2.4 Applicants whose main language is not English must meet the University's English language requirements and where applicable the School or Department's requirements.
- 2.5 Before being accepted, self-funded students should provide evidence that they are able to adequately fund the whole of their research degree programme. Candidates applying from a number of countries may now be required to pay a deposit at the offer stage in order to be granted a visa for entry.

3. **Admission**

- 3.1 The admission of research candidates must comply with the requirements stipulated within the University Admission Policy.
- 3.2 Responsibility for the initial admission of candidates lies with individual Schools and the Dean of School who may delegate that responsibility as described in 3.3 below. Admission procedures should comply with Sections 2.1 – 2.8 of the Code of Practice for Postgraduate Research. However, formal registration for a research degree may only take place following approval by the Research Degrees Committee of the Academic Board acting on behalf of the University.
- 3.3 In admitting a candidate to a research degree programme the School or Department's Postgraduate Research Tutor or their deputy or the Chair of the School Research Committee or Director of Research must ensure that:
- (a) the applicant is appropriately qualified in accordance with paragraphs 2.1 to 2.5;
 - (b) references are obtained;
 - (c) the proposed programme of research is viable, particularly if the topic has been generated by the candidate;
 - (d) adequate supervision is available which is likely to be sustainable and the Director of Studies identified;
 - (e) the necessary facilities exist for the conduct of the research;
 - (f) self-funded students should provide evidence that they are able to adequately fund the whole of their research degree programme;
 - (g) Ethical approval has been considered where appropriate;
 - (h) Intellectual Property Rights have been considered;
 - (i) if appropriate, formal collaboration is set up with the institutions necessary to undertake the research, and
 - (j) criminal records check has been carried out where appropriate.
- 3.4 Successful applicants must be issued with a formal offer letter from the School or Department's Postgraduate Research Tutor or their Deputy or the Chair of the School Research Committee or Director of Research. The offer must be accepted by the applicant in writing. Copies of the offer and acceptance letters must be lodged with the Graduate Office.

- 3.5 In accordance with the Code of Practice, Section 2.9, the offer letter shall specify:
- (a) The total fees, including any other charges such as bench fees which will be levied;
 - (b) A brief outline of the proposed research area and the normal period of study, including mode of study;
 - (c) The names of the supervisors (normally indicating the Director of Studies, who must be suitably qualified see 9.2) and other supervisory arrangements;
 - (d) A clear statement that continuation is dependent on satisfactory academic progress;
 - (e) If the research area requires Academic Technology Approval Scheme (ATAS) clearance, the correct JACS code must be noted. In addition to the code, a paragraph providing a concise, but detailed account of the proposed research must be included, complex technical details should be included if appropriate;
 - (f) The nature and extent of other duties (e.g. teaching) required (if any);
 - (g) The name and requirements and conditions of any sponsor, CASE award or similar (if any);
 - (h) A summary of the general facilities that will be made available;
 - (i) Requirements of attendance, holiday allocation, progress reports and review;
 - (j) Detail of compulsory School or Department research methods or other training courses if any, and
 - (k) The University's terms and conditions governing entry to and study on the research degree programme. Ethics policy, Intellectual Property Rights policy and Health and Safety Information.
- 3.6 Should the need arise, the University will implement other regulations and policies relating to misconduct, including plagiarism as laid down in the following documents:
- Academic Integrity;
 - Cheating and Plagiarism;
 - Data Protection;
 - Research Ethics
- 3.7 Admission decision must take into account the needs and requirements of students with disabilities and other special needs. A clear statement must be made at the outset, indicating the level of support available for the student from both the School and University.
- 3.8 When admitting a student to the full-time Research Degrees Programme, the Postgraduate Research Tutor must be satisfied that the student has sufficient time available to dedicate to their PhD. Normally, a full-time student must allocate at least 35 hours a week to work on their research programme and should not undertake more than 20 hours per week paid employment or other commitments. Part-time candidates should have a minimum of 15 hours per week available for their programme of study over the full duration of their programme.
- 3.9 When offering a student a place on the programme, Postgraduate Research Tutors must satisfy themselves that a candidate about to begin their research degree has given due consideration to their personal and financial circumstances before accepting the offer. Probationer Research Students may not apply for a formal suspension or take unapproved periods of suspension during the first full year of enrolment (See Section 7.3). Where a student is not in a position to comply with the regulations, the offer of a place should be deferred until the candidate is able to do so.

4. **Enrolment and fees**

4.1 Having been offered and accepted a place to study for a research degree, all candidates shall enrol as students of the University at the start of their programme of research and shall maintain their enrolment until conferment of the degree. Enrolment is a prerequisite for registration for a research degree and all candidates will enrol as Probationer Research Students.

4.2 Probationer Research Students will be required to register their research proposals during the first year, from three months of enrolment for full-time students and within a maximum period of nine months (exceptionally twelve months) for part-time students. If a student has not registered their proposal within a maximum of one year of enrolment, on the recommendation of a student's supervisors and the School Postgraduate Research Tutor, the Research Degrees Committee will terminate their enrolment (see Section 7.5.2).

4.3 If satisfactory progress has been made and the candidate's application for registration has been approved by the Research Degrees Committee, students will be formally registered as MPhil, MPhil/PhD or PhD research students according to the degree applied for at registration.

4.4 Full-time candidates are required to pay the full fee for the following minimum enrolment periods:

MPhil	Two years
PhD	Three years

After completion of the relevant minimum enrolment period, full-time candidates shall pay a continuation fee until the submission of the thesis when no further fees will be due.

4.5 Full-time candidates who register for the degree of PhD direct and who complete in under the three year period shall be eligible for a waiver of fees for the remaining minimum enrolment period. PhD candidates, whether direct or via MPhil, are only eligible to pay the continuation fee if they have paid the full fees for three years.

4.6 Part-time candidates shall pay the appropriate part-time fee from initial enrolment to the submission of the thesis.

Part-time candidates are required to pay the part-time fee for the following minimum enrolment periods:

MPhil	Three years
PhD	Six years
PhD by Published Work	One year
Professional Doctorate	Six years (two years taught and four years research)

After completion of the relevant fee payment period, part-time candidates shall pay a continuation fee until the submission of the thesis. Once the minimum period of registration has expired and the student submits their thesis for examination, there will be no further fees due (details in Section 7.2.2).

4.7 Following the submission of the thesis, candidates are required to remain enrolled until the degree is awarded, but no fees are payable for this period.

5. **Registration**

5.1 Candidates shall submit an application to the Research Degrees Committee to register for the degree of:

- (a) Master of Philosophy; or
- (b) Master of Philosophy with possibility of transfer to Doctor of Philosophy; or
- (c) Doctor of Philosophy;
- (d) Research Component of the Professional Doctorate.

This shall be done on form RDC-R within the first year, from three months of enrolment for full-time students and within a maximum period of nine months (exceptionally twelve months) for part-time students. If a student has not registered within a maximum of two years of enrolment, on the recommendation of a student's supervisors and the School Postgraduate Research Tutor, the Research Degrees Committee will terminate the student's enrolment (except as in paragraph 5.3 below). The form RDC-R shall be completed by the candidate, with the assistance of the supervisors, and shall be approved by the School Postgraduate Research Tutor who will forward it to the Research Degrees Committee for consideration.

5.2 The date of registration given in the application sets the start of the time period for the programme of research. The date of registration shall normally be the date the candidate initially enrolled on the research degree programme. The date of registration may not be backdated before the candidate's date of initial enrolment as a student at the University (unless account is being taken of a period of registered study at another institution as laid down in paragraph 5.4).

5.3 In exceptional cases, for example where extensive research training is being undertaken in the first year, the application for registration may be submitted after the three or nine month deadline. In such cases the application for registration must be submitted by the end of the candidate's first year.

Candidates submitting an application more than three or six months after their date of initial enrolment are required to provide reasons for the late submission to enable the Research Degrees Committee to backdate their date of registration by a longer period. This should be put in writing and attached to the application for registration, RDC-R.

5.4 Where a candidate has previously been registered as a candidate for a research degree at another institution and is seeking to transfer their registration to the University the Research Degrees Committee may approve a shorter than usual registration period which takes account of all or part of the time already spent by the candidate on the research. When formally registering with the Research Degrees Committee, candidates must complete RDC-R and submit a copy of the registration document that was approved at the other institution, the formal letter confirming the date of registration and the title of programme.

5.5 In approving an application for registration, the Research Degrees Committee shall satisfy itself that:

- (a) the candidate is suitably qualified;
- (b) the candidate is embarking on a viable research programme;
- (c) supervision is adequate and likely to be sustained;
- (d) the University or formally approved collaborating establishment is able to provide appropriate facilities for the conduct of scholarly research in the area of the research programme;
- (e) the candidate is enrolled as a student of the University and the research programme has been approved by the candidate's School;

- (f) Ethics approval has been obtained;
- (g) Intellectual Property Rights have been signed off, and
- (h) In the case of a Professional Doctorate, all the taught modules have been completed successfully.

Since this approval requires appropriate academic judgement to be brought to bear on the viability of each research proposal, the Research Degrees Committee shall be composed of persons who are or have recently been engaged in research and who have appropriate experience of successful research degree supervision (see Annex 1).

- 5.6 Where a research degree project is part of a piece of funded research, the Research Degrees Committee shall establish to its satisfaction that the terms on which the research is funded do not detract from the fulfilment of the objectives and requirements of the candidate's research degree.
- 5.7 Except where permission has been given for the thesis and the oral examination to be in another language, the Research Degrees Committee shall satisfy itself that the candidate has sufficient command of the English language to complete satisfactorily the programme of work and to prepare and defend a thesis in English. Permission to present a thesis in another language shall be sought at the time of application for registration. Permission to present a thesis in a language other than English shall only be given if the subject matter of the thesis involves language and related studies.
- 5.8 Where a candidate or the University wishes the thesis to remain confidential for a period of time after completion of the work, this shall be identified and approval sought from the Research Degrees Committee at the time of registration. In such cases where the need for confidentiality emerges at a subsequent stage, the request for the thesis to remain confidential after submission shall be made immediately to the Research Degrees Committee.

The Research Degrees Committee shall normally only approve an application for confidentiality in order to enable a patent application to be lodged or to protect commercially or politically sensitive material. A thesis shall not be restricted in this way in order to protect research leads. The normal maximum period of confidentiality shall be two years from the date of oral examination and in such cases all examiners shall be required to complete and sign a Confidentiality Agreement RDC-CA. In exceptional circumstances the Research Degrees Committee may approve a longer period. Where a shorter period would be adequate the Research Degrees Committee shall not automatically grant confidentiality for two years.

- 5.9 A candidate seeking substantial change to an approved programme of research at any time after registration shall submit a revised registration form to the Research Degrees Committee for approval.

6. **Regulations relating to different types of research degree programme**

6.1 **Candidates working as part of a research group**

- 6.1.1 A candidate whose work forms part of a larger group project may register for a research degree. In such cases each individually registered project shall in itself be distinguishable for the purposes of assessment and be appropriate for the award being sought. The application shall indicate clearly each individual contribution and its relationship to the group project.

6.2 **Candidates working overseas**

6.2.1 The Research Degrees Committee may approve an application from a candidate proposing to work outside the UK, provided that:

- (a) the candidate shall spend not less than an average of six weeks per year at the University;
- (b) the arrangements proposed for supervision enable frequent and substantial contact between the candidate and the supervisor(s) based in the UK, including adequate face-to-face contact with the supervisor(s);
- (c) appropriate support is available for the candidate whilst they are working outside the UK through the appointment of a locally-based supervisor or adviser; and
- (d) there is satisfactory evidence as to the facilities available for the research both in the University and abroad.

6.3 **Collaborative research degree programmes**

6.3.1 A candidate may enrol on a collaborative research degree programme which has been set up by the University with another institution. The arrangements for such a programme will be formalised by an agreement at institutional level and will be approved in accordance with the University's quality assurance procedures for collaborative provision.

6.3.2 A candidate enrolled on such a programme will be jointly registered with the University and the other institution and will:

- (a) enrol at the University on an annual basis and pay the appropriate fee;
- (b) register for a Brookes or a joint research degree (as stipulated by the agreement), within the first six or nine months of the programme;
- (c) undertake the research degree programme on a full-time, part-time or mixed mode basis;
- (d) register under the University's or the agreed conjoint research degree regulations (as stipulated by the agreement);
- (e) have a supervisor appointed in both institutions in accordance with the requirements of Section 9;
- (f) come to Brookes for a period of at least one year during the programme;
- (g) be examined in accordance with the University's or the agreed conjoint research degree regulations (as stipulated by the agreement);
- (h) be awarded a Brookes or a joint research degree (as stipulated by the agreement).

6.3.3 The institutional agreement or accompanying operations manual shall specify any changes to the University's research degree regulations as laid down herein.

6.4 Joint Doctoral Award Scheme

6.4.1 A candidate may enrol on a Joint Doctoral Award Scheme which has been set up between Oxford Brookes University and another institution. The Scheme must be approved by the Research Degrees Committee and applications must be made and approval obtained from both institutions before a candidate is formally offered a place. The proposed Scheme must operate in line with the agreed regulations, including the terms and conditions laid out below.

- a) The candidate must lodge an application with both Universities concurrently according to the regulations laid down in the Scheme.
- b) The programmes will be full-cost. The proportion of the fee due to each institution should be calculated on the basis of the pattern of attendance and should also include an amount to cover the cost of supervision at a distance, including travel for the supervisors if appropriate, and the University overhead. The initial Agreement should state the fee to be charged by the other institution and what they would be providing for this. Any change to this arrangement must be agreed by both parties.
- c) Prior to offer, both Universities must agree which institution's regulations will apply for the duration of the candidates research degree programme, including the minimum and maximum period of registration. The Research Degrees Committee will ensure that the regulations selected or drawn up, maintain the standard set by those approved for use at Oxford Brookes University.
- d) Both Universities must approve the application and offer the candidate a place in line with all the requirements and regulations appertaining to the Scheme and agreed by both institutions. Co-Director of Studies must be named by both institutions at this stage.
- e) Members of both supervisory teams and the candidate must meet formally at least once each year.
- f) The training programme for students and supervisors at the other institution must be approved by the Research Training Co-ordinator before any agreement was formalised
- g) The time spent at each institution must be agreed in advance, with a period of no less than the equivalent of one calendar year spent at Oxford Brookes University.
- h) Examination arrangements must be agreed by both institutions at the outset and consideration must be given to the format and language of the thesis; length of the written summary submitted in the second language; language to be used during the oral examination and the possible options available to examiners concerning the outcome of the examination and recommendations for the award.
- i) Under this Scheme both Universities award the Doctor of Philosophy and a certificate is issued by Oxford Brookes University and the partner institution. The certificates must clearly state that the award was made for one doctoral thesis and name both Universities participating in the scheme, indicating that two certificates had been issued for this degree.
- j) An institutional agreement or accompanying operational manual will be produced to assist those applying for the Joint Doctoral Award Scheme and shall specify any changes to the University's research degree regulations as laid down herein.

6.5 **Research degrees involving creative work**

- 6.5.1 A candidate may undertake a programme of research in which the candidate's own creative work forms the most significant part of the intellectual enquiry. Such creative work may be in any field (for instance, fine art, design, engineering and technology, architecture, creative writing, musical composition, film, dance and performance), but shall have been undertaken as part of the registered research programme.
- 6.5.2 The creative work shall be accompanied by a written commentary which sets the work in its relevant theoretical, critical or design context. The commentary shall conform to the usual scholarly requirements and be of an appropriate length (see paragraph 19.8).
- 6.5.3 Where the research degree involves musical composition, the portfolio of work shall comprise substantial compositions which show coherence, originality, experimentation with forms and language, and knowledge of contemporary issues in the field. The compositions shall be a total of 90 minutes duration and up to a maximum of 110 minutes for the degree of PhD and 45 minutes duration and up to a maximum of 65 minutes for the degree of MPhil. The written commentary shall address the compositional approaches used in each piece and shall demonstrate an understanding of the techniques used, the context of the piece, and appropriate aesthetic issues.
- 6.5.4 Where the research degree involves contemporary fine art practice, the submission shall represent a substantial individual achievement in the form of a major work (if a single installation, performance or event) or a body of works which demonstrates coherence, originality, experimentation with appropriate forms and media, and knowledge of contemporary issues in the field. The work or body of works shall give due consideration to its context and audience and, where relevant, the submission shall be presented in an appropriate public context. The written commentary shall address questions of context and audience and shall demonstrate an understanding of the methods, strategies and techniques employed, as well as the relevant aesthetic and theoretical issues. Since the exploratory research process is vital to the final form of the work, the submission is likely to include evidence of the research through practice (trials, examples, research diaries, evaluations) and the commentary may contain or be accompanied by visual or other relevant documentary material.
- 6.5.5 The final submission shall be accompanied by some permanent record (for instance, video, photographic record, CD-ROM, DVD-ROM, musical score, diagrammatic representation) of the creative work, where practicable, bound with the commentary.
- 6.5.6 The application for registration shall set out the form of the candidate's intended submission and of the proposed methods of assessment.

6.6 **Research degrees involving the preparation of an edition of texts or other work**

- 6.6.1 A candidate may undertake a programme of research in which the principal focus is the preparation of a scholarly edition of a text or texts, musical or choreographic work, or other original artefacts.
- 6.6.2 The final submission shall include a copy of the edited text(s) or collection of artefact(s), appropriate textual and explanatory annotations, and a substantial introduction and critical commentary which set the text in the relevant historical, theoretical or critical context. The thesis itself shall conform to the usual scholarly requirements and be of an appropriate length (see paragraph 19.8).

7. **Period of study**

7.1 **Mode of study**

7.1.1 A candidate may register on a full-time or a part-time basis. A full-time candidate shall devote on average at least 35 hours per week over a 44-week year to the research; a part-time candidate on average at least 15 hours per week.

7.1.2 Where a candidate changes from full-time to part-time study or vice versa, the minimum and maximum registration periods shall be calculated as if the candidate were a part-time candidate. Application for such a change shall be made on form RDC-MS.

7.1.3 When a candidate moves on to the Writing-up stage of the programme, their mode of study will remain unchanged unless an application for change of mode of study is submitted for approval.

7.2 **Programme length**

7.2.1 A full-time candidate shall normally reach the standard for MPhil within two years of registration and for PhD within three years and pro-rata for part-time.

7.2.2 The thesis must be submitted within the following minimum and maximum periods of registration:

	Minimum	Maximum
MPhil		
full-time	2 years	3 years
part-time	3 years	4 years
PhD (via transfer from MPhil registration and including that period of MPhil registration)		
full-time	3 years	5 years
part-time	4 years	6 years
PhD (direct)		
full-time	2 years	5 years
part-time	3 years	6 years
Research Component of the Professional Doctorate		
	3 years	4 years

7.3 **Temporary suspension of period of registration**

7.3.1 Where the candidate is prevented, by ill-health or exceptionally, for other reasons, from making progress with their research, the Research Degrees Committee may suspend their registration for no more than one year at a time and for no longer than a maximum of two years. All applications will be considered on an individual basis and a case must be made by the student, which will be judged on merit, it should be noted that approval will not automatically be granted. A candidate seeking such a suspension shall apply on form RDC-Susp. The candidate's enrolment as a student with the University shall be suspended for the period of the approved suspension and access to all University facilities will be put in abeyance for the approved period.

- 7.3.2 Supervisors must ensure that applications for suspension of registration are submitted before the period of suspension and not retrospectively. Where in exceptional cases an application for retrospective suspension is required, the full application and supporting documentation must be submitted to the appropriate Research Degrees Committee, subject Sub-Committee for consideration. The approval of applications for retrospective suspension cannot be guaranteed and if the Committee is unable to approve the application, the student will be required to enrol and pay the appropriate fees for that period of time.
- 7.3.3 Applications for suspension of registration will only be considered in circumstances related to illness / accident, exceptional personal circumstances, maternity leave, or where a difficult language has to be learnt. If a student applies for a suspension of registration due to illness lasting for any period longer than 4 weeks, a medical certificate must be given to the Postgraduate Research Tutor to support the application. If a suspension falls during an academic year, fees will not be payable for that period only.
- 7.3.4 All candidates beginning their research degree are expected to have given due consideration to their personal and financial circumstances before accepting an offer of a place on the programme. Probationer Research Students may not apply for a formal suspension or take unapproved periods of suspension during the first full year of enrolment.

Where exceptional, unforeseen circumstances occur which prevent normal progression, a candidate may apply for special consideration to be given to an application for suspension for a period of one month. Where an application for suspension is not approved, the student will be required to withdraw and apply again at a future date when they are able to maintain continuous enrolment. All applications must be requested immediately and with the full support of the School Postgraduate Research Tutor and Supervisory Team. Retrospective applications will not be considered.

- 7.3.5 Schools should note that in the case of students in receipt of Research Council funded studentships, the process for being granted a suspension of registration may differ from those applied at Oxford Brookes. It is important that the Directors of Studies contact the Graduate Office for advice before the student begins the period of suspension as failure to follow their procedures may lead to the funding bodies imposing sanctions on the University as a whole for a substantial period of time.

7.4 **Extension of period of registration**

- 7.4.1 A candidate shall submit the thesis to the Graduate Office before the expiry of the maximum period of registration. The Research Degrees Committee may extend a candidate's period of registration, for not more than one year at a time and for not more than a maximum of three years. A candidate seeking such an extension shall apply on form RDC-Ext. Supervisors must ensure that applications for extension of registration are submitted before the period of extension and not retrospectively.
- 7.4.2 A candidate may apply to the Research Degrees Committee for an extension to their period of registration. Extensions will be considered for time unavoidably lost through circumstances outside the control of the individual concerned or where a student's progress has been hindered through extreme pressure of external work for a limited period. Sympathetic consideration will be given to cases where the student has been absent through illness supported by a valid medical certificate.
- 7.4.3 Schools should note that in the case of students in receipt of Research Council funded studentships, the process for being granted an extension of registration may differ from those applied at Oxford Brookes. It is important that the Directors of Studies contact the Graduate Office for advice before the student begins the period of suspension as failure to follow their procedures may lead to the funding bodies imposing sanctions on the University as a whole for a substantial period of time.

7.5 **Withdrawal of registration**

7.5.1 Where a candidate has discontinued the research, the withdrawal of registration shall be notified to the Research Degrees Committee on form RDC-W completed by the candidate and/or the supervisors.

7.5.2 On the recommendation of a candidate's supervisors and the School Postgraduate Research Tutor, the Research Degrees Committee may terminate the registration of a candidate for the following reasons:

- (a) if a Probationer Research Student does not register their proposal within a maximum period of one year from the date of initial enrolment (pro rata for part-time students);
- (b) if the candidate's period of registration has expired and an application for extension of registration has not been submitted within a reasonable period;
- (c) if the candidate has not responded to any correspondence from the supervisors and there has been no contact between the candidate and the supervisors for a period of one year;
- (d) if the candidate has not maintained enrolment as a student of the University and paid the appropriate fees (see paragraphs 4.1 to 4.4);
- (e) if the candidate's School provides evidence for unsatisfactory academic progress, over a period of one academic year.

7.5.3 A candidate who has formally withdrawn may apply for reinstatement of registration if, due to a change in circumstances, the candidate is in a position to be able to resume the research programme. The application should be considered by the School Postgraduate Research Tutor in line with the Admission procedures in the Code of Practice for Postgraduate Research. Consideration will also be given to the likelihood of completion; past academic achievement; progress; references; financial viability and whether adequate supervision is available.

As part of the application, the candidate should submit a full proposal containing a detailed progress report, clearly outlining the work already undertaken with a full account of the work still to be completed. The application should include a realistic timetable of when the various stages of the remaining work will be completed.

The application will be considered by the School Postgraduate Research Tutor in the same way as for a new application. However, particular attention will be paid to the progress made and the academic standard of the work already completed when the candidate was previously registered. The School and the Research Degrees Committee reserve the right to refuse re-entry to the programme if previous work was not of a satisfactory standard or if there are no longer supervisors available to support the work.

If an application to resume study is successful, the candidate will be required to enrol on a new student number and pay the appropriate full-time or part-time fee (see Section 4), no concession will be made for fees previously paid. An application for registration will then be made to the Research Degrees Committee in the usual way, the amount of time allowed for the backdating of a candidate's new registration will depend on the recommendations made by the School and Committee.

7.6 **Paid work and holidays**

- 7.6.1 A full-time candidate may undertake teaching, demonstrating and, subject to approval, other paid work directly related to their research training, provided that the total demands made on their time, including time spent in preparation, does not normally exceed six hours a week, averaged over 30 weeks.
- 7.6.2 Full-time students who wish to undertake paid work not directly related to their research training must get the permission of their Director of Studies and Postgraduate Research Tutor.
- 7.6.3 A full-time student must allocate at least 35 hours a week to work on their research programme and should not undertake more than 20 hours per week paid employment or other commitments. Part-time candidates should have a minimum of 15 hours per week available for their programme of study over the full duration of their programme.
- 7.6.4 Students may take up to eight weeks holiday in each year (pro rata for parts of a year), inclusive of normal public holidays. The timing of the holidays must be agreed with their Director of Studies.

8. **Programme of related activities**

- 8.1 As part of the programme of research a candidate shall follow a programme of related activities in order to attain competence in research methods and knowledge related to the subject of the thesis. This programme shall be intended:
- (a) to provide the candidate with the skills and knowledge necessary for the pursuit of the proposed research;
 - (b) to provide breadth of knowledge in the related subjects;
 - (c) to place the candidate in contact with the research community; and
 - (d) to provide generic training in related skills appropriate for personal and professional development.
- 8.2 Where the programme of related activities includes an approved programme of studies leading to another award and the candidate is registered for that programme and fulfils all its requirements, the candidate may be recommended for that award in addition to the degree of MPhil or PhD. The Research Degrees Committee shall only approve such dual registration where either the research degree registration or the other course of study is by part-time study and that, in the opinion of the Research Degrees Committee, the dual registration will not detract from the research. The work undertaken for the other award must not be submitted in fulfilment of the requirements for the candidate's research degree.
- 8.3 A candidate may be required to undertake and pass a programme of formally assessed studies. Such a course of study shall not occupy more than one quarter of the total period of registration and shall complement the research. This programme is intended to provide a body of knowledge normally associated with a degree in the field of study of the proposed research.

9. **Supervision**

- 9.1 A candidate shall have at least two and not more than three supervisors.
- 9.2 One supervisor shall be the Director of Studies (first supervisor) with responsibility to ensure that the candidate receives supervision on a regular and frequent basis with members of the supervisory team. The Director of Studies shall normally have supervised one research student to completion and completed key components of the Supervisor Training Course. Where a Director of Studies only has one completion, whether as Director of Studies, Second Supervisor or Third Supervisor, the supervision of that research programme must have been for more than two thirds of the whole programme, anything less will not be considered sufficient to meet this requirement. However, where a member of staff has had substantial experience of supervising graduate students and where the team as a whole has supervised at least two research students to completion, the Chair of the appropriate Sub-Committee with the School or Department Postgraduate Research Tutor, will assess whether the experience is sufficient to take on the role of Director of Studies. The recommendation must be approved by the Chair of the Research Degrees Committee before the member of staff can be appointed.
- 9.3 One individual shall not normally be Director of Studies for more than six full-time research students or pro-rata for part-time students. The ratio may vary according to the number of full or part-time students allocated to a particular member of staff. The Postgraduate Research Tutor and Dean of School or Head of Department shall assess the workload of a member of staff to ascertain the appropriate number of students to be supervised by that individual. Supervisory time should be included in the individual's workload plan.
- 9.4 The supervision team shall normally be research active and have substantial research experience in the relevant subject area and have had a combined experience of supervising at least two research degree candidates to successful completion. In the case of a PhD, the supervisory team shall normally have supervised at least two PhD candidates to successful completion.
- 9.5 At least one supervisor should be a member of academic staff of the University. The Dean of School must ensure that the supervisors are suitably qualified for the proposed project. The supervisory team should have substantial research experience in the relevant subject area and normally have experience of supervising at least two research degree candidates to successful and timely completion at the appropriate level.
- 9.6 In addition to the supervisors, an adviser or advisers may be proposed to contribute some specialised knowledge or a link with an external organisation.
- 9.7 A candidate for a research degree or professional higher degree, excluding PhD by Published Work, shall be ineligible to act as a Supervisor for another research degree candidate.
- 9.8 Any proposal for change in supervision arrangements shall be made to the Research Degrees Committee on form RDC-S.
- 9.9 Exceptionally the role of Director of Studies may be divided between no more than two Co-Directors of Studies. In these cases the role of each person would have to be clearly identified at the outset and a case made to the relevant Sub-Committee for approval. Where the role of Director of Studies is divided in this way, a second supervisor is also required to complete the team.

10. **Collaborating establishments**

- 10.1 The University encourages collaboration with industrial, commercial, professional or research establishments for the purposes of research leading to research degree awards. Such collaboration shall be intended:
- (a) to encourage outward-looking and relevant research;
 - (b) to extend the candidate's own experience and perspectives of the work;
 - (c) to provide a wider range of experience and expertise to assist in the development of the project;
 - (d) to be mutually beneficial; and,
 - (e) where appropriate, to enable the candidate to become a member of a research community.
- 10.2 Collaboration may be formalised with one or more bodies external to the University. For the purpose of the research degree regulations these shall be referred to as Collaborating Establishments. Formal collaboration shall involve the candidate's use of facilities and other resources, including supervision, which are provided jointly by the University and the Collaborating Establishment(s). In such cases a formal letter from a senior member of the Collaborating Establishment(s) confirming the agreed arrangements should be submitted with the application for registration, except where collaboration is an integral part of the project (as, for instance, with Research Council CASE awards).
- 10.3 The name(s) of the Collaborating Establishment(s) shall appear on the candidate's thesis and degree certificate.

11. **Annual monitoring requirements**

- 11.1 The progress and status of all research students, full-time and part-time must be reviewed annually by Schools. Candidates must produce a brief written annual progress report on their research which should be submitted to the School Postgraduate Research tutor and copied to the supervisors, in accordance with the School's annual monitoring procedures. This assessment must include one person external to the supervisory team.
- 11.2 In addition to the annual monitoring, at the end of the first year full-time or second year part-time, the progress review should include consideration of the likelihood of the candidate achieving the award of MPhil or PhD. If the review process indicates that the candidate is unlikely to achieve the degree of PhD within an appropriate period (four years for full-time or six years for part-time) clear indication should be given and if necessary the registration terminated or the candidate required only to submit for the degree of MPhil. Where a candidate is not likely to achieve the degree of MPhil the necessary action should be taken with a view to terminating registration. Directors of Studies are required to submit an annual progress report in respect of all candidates they are supervising to the School Postgraduate Research Tutors, who will sign the reports and forward them to the Graduate Office.
- 11.3 Schools must ensure that progress monitoring occurs during the first year of study and either at transfer of registration or the end of the second year for full-time students and pro-rata for part-time students. Where a student has registered for PhD direct, in addition to the first year report, a full progress review must take place at the end of the second year and should include an interview. The monitoring must include someone external to the supervisory team. Appropriate arrangements must be made for all students to make two oral presentations during their research degree programme and these should form part of progress monitoring.

- 11.4 Students will be given the opportunity annually, to give comment anonymously on the adequacy of supervision and facilities provided for their research.

12. **Transfer of registration from MPhil to PhD**

- 12.1 A candidate registered initially for MPhil with possibility of transfer to PhD who wishes to transfer to PhD shall prepare for the supervisors and School Postgraduate Research Tutor a full progress report on the work undertaken. This should be done when sufficient progress has been made on the work to provide evidence of the development to PhD (normally after about 18 months of full-time study or the part-time equivalent). The progress report should be 3,000 words in length and include:
- (a) a brief review and discussion of the work already undertaken (between 800 – 1,000 words);
- and
- (b) a statement of the intended further work, including details of the original contribution to knowledge which is likely to emerge.
- 12.2 The candidate shall then apply to the Research Degrees Committee for approval of transfer of registration from MPhil to PhD on form RDC-T should contain a summary of the full progress report together with a statement of support from the supervisors. The supervisor's report should be between 100 – 150 words and summarise the candidate's progress, giving details of any changes to the programme of research should it have altered significantly from that outlined in the original application for registration.
- 12.3 Before approving transfer from MPhil to PhD the Research Degrees Committee shall be satisfied that the candidate has made sufficient progress and that the proposed programme provides a suitable basis for work at PhD standard which the candidate is capable of pursuing to completion.
- 12.4 A candidate registered for the degree of MPhil only may apply for an exceptional transfer of registration to PhD. In such cases the candidate's full progress report shall be submitted to the Research Degrees Committee along with the application for transfer.
- 12.5 A candidate who is registered for the degree of PhD and who is unable to complete the approved programme of work may, at any time before the submission of the thesis for examination, apply to the Research Degrees Committee for the registration to revert to that for MPhil.

13. **Approval of examination arrangements**

- 13.1 The supervisors shall propose examiners and the final thesis title to the Research Degrees Committee for approval on form RDC-E. This should be done at least three months before the expected date of submission of the thesis. The examination may not take place until the examination arrangements have been approved. In special circumstances the Research Degrees Committee may act directly to appoint examiners and arrange the examination of a candidate.

- 13.2 In cases where the research degree involves creative work and the candidate is submitting work in other than written form, the application for approval of examination arrangements shall contain a statement of the format of the candidate's creative work and the proposed methods of assessment.
- 13.3 Where there is evidence that the research has proceeded exceptionally well, the Research Degrees Committee may approve the thesis being submitted in less than the minimum period of registration as specified in Section 7.2.2. The minimum period of registration will not normally be reduced by more than six months. The request for early submission should be made by the Director of Studies on behalf of the candidate with the application for approval of examination arrangements.
- 13.4 If the nature of the research necessitates the thesis being held on restricted access for a period of time up to a maximum of two years after completion of the work and approval of this was not sought at the time of registration, the request for confidentiality should be made with the application for approval of examination arrangements (paragraph 5.8 refers).
- 13.5 All examiners who are about to examine a candidate who has requested that the thesis be held on restricted access should complete the Confidentiality Agreement (RDC-CA) and submit it with the application for approval of examination arrangements.

14. **The examiners**

- 14.1 The examining team shall comprise an internal examiner and one or two external examiners (except where sub-paragraphs 16.5.2(c) or 16.5.3(c) apply).
- 14.2 The internal examiner shall be a member of staff of the University or the candidate's Collaborating Establishment other than a supervisor or adviser of the candidate. In cases where the internal examiner has not previously examined a higher degree, the Sub-Committee will consider whether a Chair is necessary to ensure consistency. Where possible the proposed internal examiner should attend relevant training to ensure consistency and standardisation of the processes.
- 14.3 The examiners shall be experienced in research in the general area of the candidate's thesis and, where practicable, have experience as a specialist in the topic(s) to be examined.
- 14.4 At least one external examiner shall have substantial experience of research degree examining (that is, shall have examined at least two research degree candidates). In the case of a PhD examination, at least one external examiner shall have examined at least two PhD candidates and when examining an MPhil or Professional Doctorate one external examiner should have experience of examining at least one candidate for the award of MPhil or Professional Doctorate.
- 14.5 Where the candidate and the internal examiner are both on the staff of the same establishment, a second external examiner shall be appointed. A candidate who is on a fixed short-term employment contract (for instance, a research assistant) shall be exempt from the requirements of this regulation.
- 14.6 An external examiner shall be independent both of the University and of the Collaborating Establishment and shall not have acted previously as the candidate's supervisor or adviser. An external examiner shall normally not be either a supervisor of another candidate or an external examiner on a taught course in the same School at the University. Former members of staff of the University shall not be approved as external examiners until five years after the termination of their employment with the University. The Research Degrees Committee shall ensure that the same external examiner is not approved for more than four examinations in a period of three

years, and so ensure that the examiner does not become too familiar with the School and therefore prejudice objective judgement. If an external examiner has been appointed for the maximum of four examinations, the examiner concerned should not be proposed again for a period of two years.

14.7 No candidate for a research degree or a professional higher degree shall act as an examiner.

14.8 The University shall determine and pay the fees and expenses of the examiners.

15. **Submission of the thesis**

15.1 The Director of Studies or the Graduate Office shall make known to the candidate the procedure to be followed for the submission of the thesis and any conditions to be satisfied before the candidate may be considered eligible for examination. The thesis will not be sent for examination until all outstanding fees or debts to the University have been paid in full. The number of copies of the thesis to be submitted will be determined by the number of examiners appointed, in most cases one internal and one external examiner are appointed and therefore two copies of the thesis should be submitted. A copy of the Abstract page should also be submitted with the thesis at this stage.

15.2 The candidate shall ensure that the thesis is submitted to the Graduate Office before the expiry of the registration period (see paragraph 7.2.2).

15.3 The candidate shall ensure that the thesis format is in accordance with the requirements of the University's regulations (see Section 19).

15.4 The submission of the thesis for examination shall be at the sole discretion of the candidate. While a candidate would be unwise to submit the thesis for examination against the advice of the supervisors, it is the candidate's right to do so. Equally, candidates should not assume that a supervisor's agreement to the submission of a thesis guarantees the award of the degree. Candidates are required to present the final version of the thesis to the supervisors before submission and to obtain the Director of Studies' signature on the submission form RDC-Sub. This form must be submitted to the Graduate Office before the thesis can be sent out to the examiners.

15.5 In exceptional cases, a candidate may submit the thesis for examination without the supervisor's agreement, however the supervisor will still be required to sign the submission form before the thesis can be sent to the examiners.

15.6 The candidate shall confirm, through completion of form RDC-Sub, that the thesis has not been submitted for a comparable academic award. The candidate shall not be precluded from incorporating in the thesis, covering a wider field, work which has already been submitted for a degree or comparable award, provided that it is indicated, on the submission form and also in the thesis, which work has been so incorporated.

16. **First examination**

16.1 **General**

16.1.1 The examination for the MPhil and PhD shall have two stages: firstly the submission and preliminary assessment of the thesis and secondly its defence by oral or approved alternative (see paragraph 16.3.1) examination.

- 16.1.2 The candidate shall satisfy any conditions of eligibility for examination required by the Research Degrees Committee.
- 16.1.3 A candidate who has been required to undertake a programme of formally assessed studies (see paragraph 8.3) shall not be permitted to proceed to research degree examination until the course work examiners are satisfied with the candidate's performance. The result of the assessment shall be communicated to the examiners of the thesis.
- 16.1.4 The Research Degrees Committee shall ensure that all examinations are conducted and the recommendations of the examiners are presented wholly in accordance with the University's regulations. In any instance where the Research Degrees Committee is made aware of a failure to comply with all the procedures of the examination process, it may declare the examination null and void and appoint new examiners.
- 16.1.5 Where evidence of plagiarism in the preparation of the thesis or other irregularities in the conduct of the examination come to light subsequent to the recommendation of the examiners, the Academic Misconduct Officer must be informed immediately, who will deal with the matter in line with the University's Student Conduct Regulations and Disciplinary Procedure.
- 16.1.6 The degree of MPhil or PhD may be awarded posthumously on the basis of a thesis completed by a candidate, which is ready for submission for examination. In such cases the Research Degrees Committee shall seek evidence that the candidate would have been likely to have been successful had the oral examination taken place.

16.2 **Preliminary assessment of the thesis**

- 16.2.1 The Graduate Office shall send a copy of the thesis to each examiner, together with the examiner's preliminary report form - RDC-MPhil(A) or RDC-PhD(A) - and the University's research degree regulations, and shall ensure that the examiners are properly briefed as to their duties. Examiners should be appointed before the thesis is submitted so that the thesis may be sent for examination within days of submission. In exceptional circumstances, where examiners have not been appointed in advance of submission, the examining team must be proposed and approved within a maximum of two weeks from the date of submission.
- 16.2.2 Each examiner shall read and examine the thesis and submit on form RDC-MPhil(A) or RDC-PhD(A) an independent preliminary report and send it to the Graduate Office at least one week before any oral or alternative form of examination is held. In completing the preliminary report, each examiner shall consider whether the thesis provisionally satisfies the requirements of the degree (as set out in paragraphs 1.3 and 1.4) and where possible make an appropriate provisional recommendation subject to the outcome of any oral examination.
- 16.2.3 The Graduate Office shall ensure as far as possible, that all the examiners have completed and returned their preliminary reports to the University at least one week before the oral examination takes place.
- 16.2.4 Where the examiners are of the opinion that the thesis is so unsatisfactory that no useful purpose would be served by conducting an oral examination, they may recommend that the Research Degrees Committee dispense with the oral examination and refer the thesis for further work. In such cases the examiners shall provide the Research Degrees Committee with written guidance for the candidate concerning the deficiencies of the thesis. The examiners shall not recommend

that a candidate fail outright (see sub-paragraph 16.4.1(d)) without holding an oral examination or other alternative examination (see paragraph 16.3.1).

16.3 **Oral examination**

- 16.3.1 A candidate shall be examined orally on the programme of work and on the field of study in which the programme lies. Where for reasons of sickness, disability or comparable valid cause the Research Degrees Committee is satisfied that a candidate would be under serious disadvantage if required to undergo an oral examination, an alternative form of examination may be approved. Such approval shall not be given on the grounds that the candidate's knowledge of the language in which the thesis is presented is inadequate.
- 16.3.2 It is the responsibility of the internal examiner to make all the necessary arrangements for the oral examination. This will include agreeing the date of the oral examination and notifying the candidate, external examiner(s) and supervisors in writing of the date and the arrangements for the oral examination. Where the internal examiner is external to the University, the School Postgraduate Research Tutor shall take responsibility for organising the oral examination.
- 16.3.3 The candidate shall take no part in the arrangement of the examination and shall have no formal contact with the external examiner(s) between the appointment of the examiners and the oral examination.
- 16.3.4 The oral examination shall normally be conducted within two months from the date of receipt of the thesis by the examiners and within a maximum of three months. The oral examination shall not be arranged less than one month from the date of receipt of the thesis by the examiners in order to give the examiners a reasonable period to assess the work. Where circumstances arise which prevent the oral examination being conducted within the maximum period, the Chair of the Research Degrees Committee shall be notified of the reasons for the delay. The Chair may either approve an extension to the period for examination or require a new examining team to be appointed.
- 16.3.5 The oral examination shall be held at this University, however in special circumstances it may be held elsewhere, for example at a Collaborating Establishment. In exceptional cases the Research Degrees Committee may give approval for the examination to take place abroad, elsewhere in the UK or to be held by Video Conference.
- 16.3.6 Supervisors, advisers and the Chair of the Research Degrees Committee may, with the consent of the candidate, attend the oral examination, but shall withdraw prior to the deliberations of the examiners on the outcome of the examination.

16.4 **Final report and recommendation**

- 16.4.1 Following the oral or approved alternative examination the examiners may recommend that:
- (a) the candidate be awarded the degree;
 - (b) the candidate be awarded the degree subject to minor amendments being made to the thesis (see paragraph 16.4.5);
 - (c) the candidate be permitted to re-submit for the degree and be re-examined, with or without an oral examination (see paragraph 16.4.6 and Section 17);
 - (d) the candidate be not awarded the degree and be not permitted to be re-examined (see paragraph 16.4.8); or

- (e) in the case of a PhD examination, the candidate be awarded the degree of MPhil subject to the presentation of the thesis being amended to the satisfaction of the examiners (see paragraph 16.4.9).
- 16.4.2 The examiners shall inform the candidate of their recommendation on the result of the examination but they shall make it clear that the decision rests with the Research Degrees Committee.
- 16.4.3 The examiners shall, where they are in agreement, make their joint report and recommendation relating to the award of the degree on the appropriate form - RDC-MPhil(B) or RDC-PhD(B). This shall be submitted to the Graduate Office as soon as possible after the completion of the oral examination and definitely within 24 hours of the completion of the examination. Where the examiners are not in agreement, separate reports and recommendations shall be submitted.
- 16.4.4 The preliminary reports and joint recommendation of the examiners shall together provide sufficiently detailed comments on the scope and quality of the work to enable the Research Degrees Committee to satisfy itself that the recommendation chosen in paragraph 16.4.1 is correct.
- 16.4.5 Where the examiners are satisfied that the candidate has in general reached the standard required for the degree, but consider that the candidate's thesis requires some minor amendments and corrections not so substantial as to call for the submission of a revised thesis, the examiners shall recommend that the degree be awarded subject to the candidate amending the thesis to the satisfaction of the internal and/or the external examiner(s) (see sub-paragraph 16.4.1(b)). The internal examiner shall collate all the comments of the examiners and shall produce an agreed written list of the minor amendments and corrections required to the thesis. This shall be forwarded to the candidate and the Graduate Office within two weeks of the date of the oral examination.
- 16.4.6 Candidates should send the amended thesis to the examiners responsible for approving the corrections, examiners should notify the candidate of their decision within a maximum of two months of receipt of the thesis. The amended thesis shall then be submitted to the Graduate Office within six months of the date of the oral examination, together with a letter or email from the examiner who has been given responsibility for checking the amendments, confirming that the amended thesis meets the examiners' requirements.
- 16.4.7 Where the examiners recommend that the candidate be permitted to re-submit for the degree and be re-examined (see sub-paragraph 16.4.1(c)), the examiners shall provide the candidate with written guidance on the deficiencies of the thesis and the further work which is required. The internal examiner shall collate all the comments of the examiners and shall produce an agreed written list of the revisions required to the thesis. This shall be forwarded to the candidate and the Graduate Office within two weeks of the date of the oral examination. The revised thesis shall be submitted to the Graduate Office within one year of the date of the examination. The re-examination shall be conducted in accordance with the requirements of Section 17.
- 16.4.8 Where the examiners recommend that the degree be not awarded and that no re-examination be permitted (see sub-paragraph 16.4.1(d)), the examiners shall prepare an agreed statement of the deficiencies of the thesis and the reason for their recommendation, which shall be submitted to the candidate by the Graduate Office.
- 16.4.9 Where the examiners recommend, in the case of a PhD examination, that the candidate be awarded the degree of MPhil (see sub-paragraph 16.4.1(e)), the examiners shall prepare an agreed statement of the reason for the recommendation, which shall be submitted to the candidate and the Graduate Office.

16.4.10 A further examination in addition to the oral examination may be requested by the examiners. In such cases the approval of the Research Degrees Committee shall be sought without delay. Where such an examination is arranged following an oral examination, it shall normally be held within two months of the oral examination unless the Research Degrees Committee permits otherwise. Any such examination shall be deemed to be part of the candidate's first examination.

16.5 **Approval of the examiners' recommendation**

16.5.1 Where the examiners are in agreement and make a joint recommendation, the Chair shall, on behalf of the Research Degrees Committee, make a decision on the reports and recommendation of the examiners in respect of the candidate. This decision shall be reported to the Research Degrees Committee.

16.5.2 In any instances where the Chair does not agree with the examiners' joint recommendation, the Chair shall refer the matter to the Research Degrees Committee for consideration. The Research Degrees Committee may:

- (a) seek clarification or further information from the examiners as to the reasons for their recommendation;
- (b) refer the recommendation back to the examiners for review in the light of the Research Degrees Committee's comments; or
- (c) require the appointment of an additional external examiner (see paragraph 16.5.4).

16.5.3 Where the examiners' recommendations are not unanimous, the Chair shall refer the matter to the Research Degrees Committee for consideration. The Research Degrees Committee may:

- (a) accept a majority recommendation (provided that the majority recommendation includes at least one external examiner);
- (b) accept the recommendation of the external examiner; or
- (c) require the appointment of an additional external examiner.

16.5.4 Where an additional external examiner is appointed under sub-paragraph 16.5.2(c) or 16.5.3(c), the additional examiner shall prepare an independent preliminary report on the basis of the thesis and, if considered necessary, may conduct a further oral examination. That examiner should not be informed of the recommendations of the other examiners. On receipt of the report from the additional examiner the Research Degrees Committee shall reach a decision regarding the outcome of the examination.

17. **Re-examination**

17.1 On the recommendation of the examiners and with the approval of the Research Degrees Committee, one re-examination may be permitted for a candidate who fails to satisfy the examiners at the first examination including, where appropriate, the oral or approved alternative examination (see paragraph 16.3.1) or any further examination required under paragraph 16.4.9.

17.2 The candidate shall submit for re-examination within the period of one year from the date of the latest part of the first examination. Where the Research Degrees Committee has dispensed with the oral examination the re-examination shall take place within one year of the date of this

- dispensation (see paragraph 16.2.4). The Research Degrees Committee may, where there are good reasons, approve an extension of the re-submission period.
- 17.3 The submission of the revised thesis and the re-examination process shall be conducted in accordance with the requirements for the first examination (Sections 15, 16.2, 16.3 and 16.4 refer).
- 17.4 The Research Degrees Committee may require that an additional external examiner be appointed for the re-examination.
- 17.5 There are five forms of re-examination:
- (a) where the candidate's performance in the first oral or approved alternative examination (see paragraph 16.3.1) or further examination (see paragraph 16.4.10) was satisfactory but the thesis was unsatisfactory and where the examiners on re-examination certify that the thesis as revised is satisfactory, the Research Degrees Committee may exempt the candidate from further examination, oral or otherwise; where the revised thesis is deemed by the examiners upon preliminary assessment to be unsatisfactory, the examiners shall decide whether to hold a further examination, oral or otherwise;
 - (b) where the candidate's performance in the first oral or approved alternative examination or further examination was unsatisfactory and the thesis was also unsatisfactory, any re-examination shall include a re-examination of the thesis and an oral or approved alternative examination;
 - (c) where on the first examination the candidate's thesis was so unsatisfactory that the Research Degrees Committee dispensed with the oral examination (see paragraph 16.2.4), any re-examination shall include a re-examination of the thesis and an oral or approved alternative examination;
 - (d) where on the first examination the candidate's thesis was satisfactory but the performance in the oral and/or other examination(s) was not satisfactory the candidate shall be re-examined in the oral and/or other examination(s), subject to the time limits prescribed in sub-paragraph 17.2, without being requested to revise and re-submit the thesis;
 - (e) where on the first examination the thesis was satisfactory but the candidate's performance in relation to the other requirements for the award of the degree was not satisfactory, the examiners may propose instead a different form of re-examination to test the candidate's abilities; such an examination may take place only with the approval of the Research Degrees Committee.
- 7.6 The timescale for examining a resubmitted thesis shall be the same as for the first examination, with either the oral examination being held or the examiners reaching a decision where no further oral examination is held normally within two months from the date of receipt of the thesis and within a maximum of three months.
- 17.7 In the case of a re-examination under sub-paragraphs 17.5(a), (b) or (c), each examiner shall read and examine the revised thesis and submit, on the appropriate form, an independent preliminary report on it to the Graduate Office before any oral or alternative form of examination is held. In completing the preliminary report, each examiner shall consider whether the revised thesis provisionally satisfies the requirements of the degree (as set out in paragraphs 1.3 and 1.4) and where possible make an appropriate provisional recommendation subject to the outcome of any oral examination. This report will constitute the basis of any further revisions should they be required.

- 17.8 Following the re-examination of the thesis and further oral or other examination if required, the examiners shall, where they are in agreement, make their joint report and recommendation relating to the award of the degree on the appropriate form - RDC-MPhil (B) or RDC-PhD(B). This shall be submitted to the Graduate Office as soon as possible after the completion of the oral examination and definitely within 24 hours of the completion of the examination or within one week after the examiners have reached their joint decision where no further oral examination is being held. Where the examiners are not in agreement, separate reports and recommendations shall be submitted.
- 17.9 The preliminary reports and joint recommendation of the examiners shall together provide sufficiently detailed comments on the scope and quality of the work to enable the Research Degrees Committee to satisfy itself that the recommendation chosen in paragraph 17.10 is correct.
- 17.10 Following the completion of the re-examination the examiners may recommend that:
- (a) the candidate be awarded the degree;
 - (b) the candidate be awarded the degree subject to minor amendments being made to the thesis (see paragraph 17.12);
 - (c) the candidate be not awarded the degree (see paragraph 17.14); or
 - (d) in the case of a PhD examination, the candidate be awarded the degree of MPhil subject to the presentation of the thesis amended to the satisfaction of the examiners (see paragraph 17.15).
- 17.11 Where an oral examination has taken place, the examiners shall inform the candidate of their recommendation on the result of the re-examination but they shall make it clear that the decision rests with the Research Degrees Committee. Where no further oral examination has been held, following the receipt of the examiners' final report and recommendation, the Graduate Office shall notify the candidate of the outcome of the re-examination and shall copy this to the examiners, supervisors and School Postgraduate Research Tutor.
- 17.12 Where the examiners are satisfied that the candidate has in general reached the standard required for the degree, but consider that the candidate's thesis requires some minor amendments and corrections not so substantial as to call for the submission of a revised thesis, the examiners shall recommend that the degree be awarded subject to the candidate amending the thesis to the satisfaction of the internal and/or the external examiner(s) (see sub-paragraph 17.10(b)). The internal examiner shall collate all the comments of the examiners and shall produce an agreed written list of the minor amendments and corrections required to the thesis. This shall be forwarded to the candidate and the Graduate Office within two weeks of the date of the oral examination or the date of notification of the outcome of the re-examination if no oral examination has been held.
- 17.13 The candidate should send the amended thesis to the examiners responsible for approving the corrections, examiners should notify the candidate of their decision within a maximum of two months of receipt of the thesis. The amended thesis shall then be submitted to the Graduate Office within six months of the date of the oral examination, together with a letter or email from the examiner who has been given responsibility for checking the amendments, confirming that the amended thesis meets the examiners' requirements.

- 17.14 Where the examiners recommend that the degree be not awarded and that no re-examination be permitted (see sub-paragraph 17.10(c)), the examiners shall prepare an agreed statement of the deficiencies of the thesis and the reason for their recommendation, which shall be submitted to the candidate by the Graduate Office.
- 17.15 Where the examiners recommend, in the case of a PhD examination, that the candidate be awarded the degree of MPhil (see sub-paragraph 17.10(d)), the examiners shall prepare an agreed statement of the reason for the recommendation, which shall be submitted to the candidate and the Graduate Office.
- 17.16 The Research Degrees Committee shall make a decision on the examiners' recommendation in relation to the re-examination in accordance with the requirements of Section 16.5.

18. **Conferment of the award**

- 18.1 The delegated power to confer the degree rests with the Research Degrees Committee and the Committee, or the Chair on behalf of the Research Degrees Committee, shall make a decision on the reports and recommendation(s) of the examiners in respect of the candidate as laid down in Section 16.5.
- 18.2 Once a decision has been made on the examiners' recommendation(s) as laid down in Section 16.5, one permanently bound copy of the thesis and all the necessary documentation has been submitted to the Graduate Office, the Chair of the Research Degrees Committee and the University's Academic Registrar shall sign the appropriate conferment form - RDC-MPhil(C) or RDC-PhD(C). When all the requirements of the University have been met, the conferment form shall be forwarded to the Examination and Conferment Unit as authority to print the research degree certificate. The thesis submitted must be identical to that examined except for those corrections that have been requested by the examiners at the oral examination or following a re-examination where an oral examination was not required.
- 18.3 Following the award of the degree the Graduate Office shall:
- (a) lodge one copy of the thesis in the library of the University and in the library of any Collaborating Establishment; and
 - (b) for PhD theses, send a copy of the title and abstract pages to the British Library, together with the British Library Doctoral Thesis Agreement Form.
- 18.4 Where the Research Degrees Committee has agreed that the confidential nature of the candidate's work is such as to preclude the thesis being made freely available in the library of the University (and any Collaborating Establishment), the final approved thesis shall be retained by the University on restricted access and, for a time not exceeding the approved period (see paragraph 5.8), shall only be made available to those who were directly involved in the project.
- 18.5 Candidates wishing to attend an annual Award Ceremony in a given year must have been awarded their research degree before 30 June of that year. All amendments required by the examiners should be approved, and the final bound copy of the thesis and all the necessary paper work must be submitted to the Graduate Office before a candidate may attend that year's ceremony.

19. **Format of the thesis**

- 19.1 Theses may be submitted for examination in a temporarily bound form which is sufficiently secure to ensure that pages cannot be added or removed. (For instance, perfect-binding which is a method of binding single pages by gluing them together on the spine of the document.) The thesis shall be presented in a permanent binding of the approved type (see paragraph 19.11 for details) before the degree may be awarded. A thesis submitted in a temporarily bound form shall be in its final form in all respects save the binding. In such cases the candidate shall confirm, through the submission of a declaration form RDC-Decl that the contents of the permanently bound thesis are identical with the version submitted for examination, except where amendments have been made to meet the requirements of the examiners.
- 19.2 Except with the specific permission of the Research Degrees Committee the thesis shall be presented in English (see paragraph 5.7). Where a thesis is presented in a language other than English, a summary in English of 1,000 words shall be included in the thesis.
- 19.3 There shall be an abstract of approximately 300 words bound into the thesis which shall provide 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. In addition, form RDC-Abst shall be completed by the candidate and submitted with the thesis.
- 19.4 The thesis shall include a statement of the candidate's objectives and shall acknowledge published or other sources of material consulted (including an appropriate bibliography or list of citations depending on the discipline) and any assistance received.
- 19.5 Where a candidate's research programme is part of a collaborative group project, the thesis shall indicate clearly the candidate's individual contribution and the extent of the collaboration.
- 19.6 The candidate shall be free to publish material in advance of the thesis but reference shall be made in the thesis to any such work. Copies of published material should either be bound in with the thesis or placed in an adequately secured pocket at the end of the thesis.
- 19.7 The copies of the thesis submitted for examination shall remain the property of the University but the copyright in the thesis shall be vested in the candidate.
- 19.8 The text of the thesis should not exceed the following length:

for a PhD in Science, Engineering, Art and Design	40,000 words
for an MPhil in Science, Engineering, Art and Design	20,000 words
for a PhD in Humanities, Environment, Social Sciences	100,000 words
for an MPhil in Humanities, Environment, Social Sciences	50,000 words
for the Research Component of the Professional Doctorate	50,000 words

The abstract, main text and bibliography should be included in the maximum word length. Appendices should also be included in the maximum word length, except where they contain supplementary information such as data, including transcribed or original source data, questionnaire responses, computer listings and previously published work by the candidate.

Where the programme of research involves the candidate's own creative work (see regulation 6.4), the written commentary should be within the following range:

for a PhD	15,000 - 20,000 words
for an MPhil	8,000 - 10,000 words

Where the programme of research involves the preparation of a scholarly edition of texts or other work (see regulation 6.5), the written thesis should be within the following range:

for a PhD	30,000 - 40,000 words
for an MPhil	15,000 - 20,000 words

- 19.9 In exceptional cases, variations to the word limits may be granted by the Research Degrees Committee. Requests for such variations should be made by the Director of Studies on behalf of the candidate, stating the reasons for the proposed different word length.
- 19.10 The following requirements shall be adhered to in the format of the submitted thesis. Where a candidate desires fuller guidance, reference may be made to the British Standards Institution specifications BS 4821 (1990). Where the University's regulations differ from BS 4821 in points of detail, a candidate may follow either.
- (a) Theses shall be 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; a candidate using a format larger than A4 should note that the production of microfiche copies and full-size enlargements may not be feasible;
 - (b) copies of the thesis shall be presented in a permanent and legible form either in typescript or print; where copies are produced by photocopying processes, these shall be of a permanent nature; where word processor and printing devices are used, the printer shall be capable of producing text of a satisfactory quality; the size of character used in the main text, including displayed matter and notes, shall not be less than 2.0mm for capitals and 1.5mm for x-height (that is, the height of the lower case x).
 - (c) the thesis shall be printed on the recto side of the page only; the paper shall be white and within the range 70 g/m² to 120 g/m²;
 - (d) the margin at the left-hand binding edge of the page shall not be less than 40mm; other margins shall not be less than 15mm;
 - (e) double or one-and-a-half spacing shall be used in the typescript except for indented quotations or footnotes where single spacing may be used;
 - (f) pages shall be numbered consecutively through the main text including photographs and/or diagrams included as whole pages;
 - (g) the title page shall give the following information:
 - (1) the full title of the thesis;
 - (2) the full name of the author;
 - (3) that the degree is awarded by the University;
 - (4) that the thesis is submitted in partial fulfilment of the requirements of the award of Master or Doctor of Philosophy;
 - (5) the Collaborating Establishment(s), if any; and
 - (6) the month and year of submission.

19.11 The University library copy may be bound in any colour and shall be presented as follows:

- (a) the binding shall be of a fixed type so that leaves cannot be removed or replaced; the front and rear board shall have sufficient rigidity to support the weight of the work when standing upright; and
- (b) in at least 24pt embossed type the outside front board shall bear the following:
 - (1) the title of the work;
 - (2) the name and initials of the candidate;
 - (3) the qualification, e.g. PhD; and
 - (4) the year of submission;

the same information (excluding the title of the work) shall be shown on the spine of the work, reading downwards.

20. **Complaints and appeals procedures**

20.1 **Complaints procedure**

20.1.1 A candidate who has a grievance against the University in relation to the supervision of the research, the resources provided for it or any other of the obligations of the University in relation to the research (other than the conduct or result of an examination, see Section 20.2) may pursue the matter under the University's Student Complaint Procedure.

20.2.3 **Appeal against an examination decision**

20.2.1 A candidate may in the circumstances set out below appeal against an examination decision, whether at the first examination or re-examination.

20.2.2 An appeal against an examination decision may only be made in relation to a decision of the Research Degrees Committee made on the recommendation of the examiners. Given the existence of procedures for complaint and grievance during the study period (see Section 20.1), alleged inadequacy of supervisory or other arrangements during the period of study shall not constitute grounds for appealing against an examination decision.

20.2.3 An appeal against an examination decision may only be made on the following grounds:

- (a) that there were circumstances affecting the candidate's performance of which the examiners were not aware at the oral examination; and/or
- (b) that there is evidence of procedural irregularity in the conduct of the examination (including administrative error) of such a nature as to cause doubt as to whether the result might have been different had there not been such an irregularity; and/or
- (c) that there is evidence of unfair or improper assessment on the part of one or more of the examiners - a candidate may not otherwise challenge the academic judgement of the examiners.

- 20.2.4 An appeal under sub-paragraph 20.2.3(a) will not be allowed unless:
- (a) medical certificate or other documentary evidence acceptable to the examiners is produced; and
 - (b) valid reasons can be shown why the candidate was unable or unwilling to make the relevant facts known to the examiners before their original decision was taken.
- 20.2.5 The candidate shall give notice, in a letter to the Academic Registrar, within three months from the date of notification of the result that the candidate wishes to appeal against the examination decision and shall submit their case within a further three months from the date of giving notice.
- 20.2.6 The appeal shall first be considered by the Academic Registrar, who shall consult with the Chair of the Research Degrees Committee, and shall determine whether there is a prima facie case for an appeal. If it is considered that the request is frivolous, vexatious or outside the permitted grounds, the Academic Registrar shall inform the candidate in writing that there is no prima facie case for an appeal and the reasons for this decision.
- 20.2.7 If it is considered that there is a prima facie case for an appeal the Academic Registrar shall gather such evidence as is considered appropriate and likely to assist a panel in reviewing the case. This may include seeking written or oral testimony from the examiners, from other persons present at the oral examination, from supervisors or other members of the academic staff, or further evidence or statements by way of elucidation from the candidate.
- 20.2.8 The appeal shall be considered by a review panel, convened by the Academic Registrar. The review panel shall have the following composition:
- (a) a member of the Senior Management Team as Chair (preferably PVC for Research);
 - (b) one research active Dean of School;
 - (c) one research active member of teaching staff;
 - (d) two research degree students nominated by the President of the Students' Union;
 - (e) the Academic Registrar or deputy as secretary.
- None of the members of the panel shall be a member of staff or a student in the candidate's School. At least two members of the panel shall have significant experience of research degree examining.
- 20.2.9 The review panel shall hear the appeal. The conduct of the appeal is at the discretion of the Chair, but the candidate and the examiners shall have the right to:
- (a) submit written representations;
 - (b) appear at the hearing;
 - (c) call witnesses;
 - (d) examine any witnesses called;
 - (e) be accompanied by a friend.
- 20.2.10 The Internal Examiner shall be expected to attend the review panel hearing if invited to do so. In these cases the panel will not proceed without the Internal Examiner present to represent the examining team.
- 20.2.11 If the review panel decides that a candidate has valid grounds for an appeal, it shall recommend that the Research Degrees Committee either:
- (a) invite the examiners to reconsider their decision; or
 - (b) appoint new examiners.

- 20.2.12 A review panel shall not be constituted as an examination Board and shall not have the authority to recommend the award of the degree.
- 20.2.13 If a candidate is dissatisfied with the review panel's decision as indicated in the Completion of Procedures letter, they may be able to refer their complaint to the Office of the Independent Adjudicator for Higher Education (OIA) providing that the complaint is eligible under the OIA's Rules.
- 20.2.14 If a candidate is dissatisfied with a decision of the Academic Registrar under paragraph 20.2.6 above, the candidate may request in writing that it be reviewed by the Director of Academic and Student Affairs. Any such request must be received within two weeks of the despatch of the decision. The decision of the Director of Academic and Student Affairs shall be final.
- 20.2.15 If a member of staff, being in possession of material that, by reason of its confidential nature, can not be communicated to the candidate, wishes to appeal on behalf of the candidate, he or she may, with the written consent of the candidate, bring an appeal under these regulations with the substitution of 'member of staff' for 'candidate' as appropriate.
- 20.2.16 Throughout this procedure the Academic Registrar may nominate a senior member of her/his staff to act on her/his behalf in relation to any request for a review.

Annex 1: The role and responsibilities of the Research Degrees Committee

1 Powers and responsibilities of the Research Degrees Committee

- 1.1 The Academic Board of the University has established a Research Degrees Committee with the following powers:
- (a) to register students for MPhil, for MPhil with possibility of transfer to PhD, or for PhD direct, and PhD by Published Work on approved programmes of work under approved supervision;
 - (b) to transfer registration from MPhil to PhD;
 - (c) to exercise all other responsibilities for the registration, supervision, transfer, suspension and extension of registration which have been delegated to it and to approve examination arrangements;
 - (d) to complete the examination process in respect of individual candidates by deciding upon the examiners' recommendations;
 - (e) to consider and decide upon requests by candidates for a review of an examination decision; and
 - (f) to confer all Research Degree, Higher Degree and Professional Doctorate awards.
- 1.2 The Research Degrees Committee shall be responsible for:
- (a) the general arrangements under which the candidate's research is carried out, including arrangements for academic supervision and postgraduate study and the provision of adequate facilities to enable the candidate to conduct and complete the research programme in an efficient and safe manner; and
 - (b) approving examination arrangements and for the conduct of the examination.
- 1.3 The Research Degrees Committee shall assume full responsibility for and have appropriate mechanisms for dealing with all stages of the activities delegated to it, including responsibility for dealing with the recommendations of examiners.
- 1.4 The Research Degrees Committee shall ensure that the interests of students are protected and that the standard of awards is maintained under the University's regulations for research degrees.

2 Membership

- 2.1 The membership of the Research Degrees Committee shall be constituted to ensure:
- (a) appropriate experience of completed research degree supervision;
 - (b) appropriate experience of examining research degrees;
 - (c) a wide range of research experience and research-based publications;
 - (d) subject expertise to reflect the range of disciplines in which students are registered as far as is reasonably practicable; and
 - (e) familiarity with the University's regulations for research degrees.

2.2 The above implies that:

- (a) a majority of the Research Degrees Committee shall have supervised three or more candidates to successful completion of PhD degrees;
- (b) a substantial proportion shall have had experience of examining research degrees;
- (c) there shall be clear evidence that members are or have been engaged in research activities leading to publication; and
- (d) there is sufficient expertise represented on the Research Degrees Committee to ensure that each application can be dealt with appropriately.

2.3 No person who is registered for a research degree, with the exception of PhD by Published Work, shall be a member of the Research Degrees Committee.

2.4 Members may be co-opted onto the Research Degrees Committee for a period of no longer than one year.

Approved by Research Degrees Committee: May 2007

Approved by Research & Knowledge Transfer Committee: May 2007

Annex 2: List of the University's research degree forms

RDC-R	Application to register for a research degree
RDC-R-PW	Application to register for the degree of PhD by Published Work
RDC-T	Application for transfer of registration from Master of Philosophy to Doctor of Philosophy
RDC-E	Application for approval of examination arrangements
RDC-S	Application for change in approved supervision arrangements
RDC-Ext	Application for extension of registration
RDC-Susp	Application for suspension of registration
RDC-MS	Application for change in approved mode of study
RDC-W	Notification of withdrawal of registration
RDC-MPhil(A)	Preliminary report and recommendation of an examiner on a candidate for the degree of Master of Philosophy
RDC-PhD(A)	Preliminary report and recommendation of an examiner on a candidate for the degree of Doctor of Philosophy
RDC-PhD-PW(A)	Preliminary report and recommendation of an examiner on a candidate for the degree of Doctor of Philosophy by Published Work
RDC-MPhil(B)	Final report and recommendation of the examiners on a candidate for the degree of Master of Philosophy
RDC-PhD(B)	Final report and recommendation of the examiners on a candidate for the degree of Doctor of Philosophy
RDC-PhD-PW(B)	Final report and recommendation of an examiner on a candidate for the degree of Doctor of Philosophy by Published Work
RDC-Sub	Candidate's submission form
RDC-Abst	Thesis abstract form
RDC-Decl	Candidate's declaration form on submission of final permanently-bound thesis following initial submission of temporarily-bound thesis for examination
RDC-CV	Curriculum vitae form for research degree supervisors and examiner
RDC-CA.I	Confidentiality Agreement form for a research degree internal examiner
RDC-CA.E	Confidentiality Agreement form for a research degree external examiner

