



# **De Montfort University Kazakhstan**

## **Research Degree and Higher Doctorate Regulations**



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## **Research Degree and Higher Doctorate Regulations**

### **Introduction**

These Regulations come into force on 1<sup>st</sup> October 2020, and their provisions replace all Research Degree Regulations and Procedures in force up to that date, and constitute the regulations for all students starting as of 1 October 2020 or thereafter.

The University's Doctoral College has oversight of all research degrees. It provides an information point for both staff and students on the regulations and procedures involved from admission to graduation.

The Doctoral College services the Research Degrees Committee (RDC) which authorises the registration of research degree students and monitors their progress through the Research Degrees Committee Faculty Review Panels. RDC is chaired by the Associate Pro Vice Chancellor for Research.

The Doctoral College can be contacted as detailed below and are happy to answer your queries:

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

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

## 1. Research Degree Provision

- 1.1 The Regulations prescribe the conditions under which applicants are able to qualify for the award of the research degrees of Master by Research (MA/MSc), Master of Philosophy (MPhil), Doctor of Philosophy (PhD) and Professional Doctorates of De Montfort University.
  - 1.1.1 students studying for these awards have a legal commitment to all relevant De Montfort University research degree student regulations;
  - 1.1.2 research degree students will only be accepted into an environment that provides support for doing and learning about research and where high-quality research is occurring;
  - 1.1.3 research degree students will be registered in a subject area which supports a critical mass of research activity;
  - 1.1.4 sufficient facilities for the research project, including library and IT facilities will be available;
  - 1.1.5 the award of the degree will be based on work conducted during a period of registration under an approved supervisory team, under such conditions as prescribed by the Regulations (except for students registered under Regulation 19.8).

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

- 1.2 The degrees of MPhil and MA/MSc by Research are awarded to recognise the successful completion of a supervised programme of individual research, the results of which have been satisfactorily embodied in a thesis (together, under certain circumstances, with another form of presentation as defined in 19), and which:
  - 1.2.1 demonstrates an understanding of research methods appropriate to the field of study; and
  - 1.2.2 demonstrates critical investigation and evaluation of the topic of research.
- 1.3 The University adheres to the Framework for Higher Education Qualifications of UK Degree Awards in describing the qualification outcomes and attributes for research degrees.

## **The Degree of Doctor of Philosophy (PhD)**

- 1.4 The degree of PhD is awarded to recognise the successful completion of a supervised programme of individual research, the results of which have been satisfactorily embodied in a thesis (or other presentation as defined in 19), and which:
  - 1.4.1 demonstrates an understanding of research methods appropriate to the field of study;
  - 1.4.2 demonstrates critical investigation and evaluation of the topic of research;
  - 1.4.3 constitutes an independent and original contribution to knowledge; and
  - 1.4.4 demonstrates the student's ability to undertake further research without supervision.

## **Professional Doctorates**

- 1.5 A professional doctorate degree is awarded to recognise the successful completion of a programme of study which:
  - 1.5.1 incorporates a substantial component which focuses upon appropriate research methods and provides instruction of a specialised vocational nature; and
  - 1.5.2 includes a thesis component which demonstrates:
    - 1.5.2.1 an understanding of research methods appropriate to the vocational area of the named award;
    - 1.5.2.2 critical investigation and evaluation of the area of study; and
    - 1.5.2.3 originality either in the development or application of knowledge.
- 1.6 A student who is registered for a PhD may, in consultation with his/her supervisory team, at any time prior to submission of the thesis for examination, apply to the Doctoral College for the registration to be transferred to an MPhil. This will be subject to the approval of the Research Degrees Committee Faculty Review panel.

## 2. Admission Requirements and Processes

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

- 2.1.1 PhD
- 2.1.2 PhD by Concurrent Publication
- 2.1.3 PhD by Published Works
- 2.1.4 Doctor of Business Administration (DBA)
- 2.1.5 MA /MSc by Research
- 2.1.6 PhD through Extended Professional Practice

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

2.3 Any offer of admission made by the Doctoral College or International Admissions Office on behalf of the Associate Pro Vice Chancellor for Research (APVCR), must bear the recommendation of the relevant Faculty Head of Research Students or equivalent role (or nominee), who thereby undertakes to arrange the necessary facilities and supervision if the offer is accepted. Such recommendation must also make clear which aspects of the programme, if any, will be undertaken outside University premises.

2.4 An offer of admission for PhD or DBA shall be made on fixed entry points agreed by the University. These are: 1<sup>st</sup> October; 1<sup>st</sup> January; 1<sup>st</sup> April. An offer for admission for MA or MSc by Research shall be made for the 1<sup>st</sup> October only.

2.5 Students registered at another institution to study for a research degree are not eligible for admission or registration for a research degree at De Montfort University, unless their registration elsewhere is terminated.

2.6 Applicants must declare if they have previously been terminated/ failed/ examined at research degrees level at either DMU or at another institution. The discovery of untrue statements and omissions, however belated, may result in the withdrawal of any offer of a place or registration.

2.7 The maximum period of probation is twelve months for full-time students and twenty-four months for part-time students. For students following the MA/MSc by Research programme, the maximum period of probation is three months for full-time and six months for part-time. The University has the right to terminate a student's registration if they fail their Probation Review. Exceptionally, the Probation Review Panel may extend the probationary period by up to six months.

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

- 2.8.1 possess a UK Honours degree with at least an upper second class honours, or an academic or professional qualification plus experience in their sector or industry which the Research Degrees Committee Faculty Review Panel deems to be

- equivalent; and
- 2.8.2 demonstrate competence in the use of the English language. A minimum score of 6.5 in an International English Language Test Score (IELTS or equivalent) test is normally required. This includes a minimum score of 5.5 in each of the test components, in a test undertaken no more than two years prior to entry.
  - 2.8.3 UK degrees and IELTS tests used for English Language competence must be undertaken no more than two years prior to entry.
- 2.9 A condition of admission for applicants is the provision of atleasttwo reference(s), demonstrating the applicant’s academic ability and fitness to conduct research. One of these references can come from industry/practice.
- 2.10 Applicants wishing to pursue a PhD by Published Works are subject to the same admission protocols and procedures but in addition they must submit their First Project Review form together with their formal application.
- 2.11 Students admitted onto the MA/MSc by Research cannot automatically transfer toan MPhil or PhD.
- 2.12 An applicant whose work forms part of a group project may be registered for a Research Degree, provided that the Research Degrees Committee Faculty Review Panel is satisfied that the applicant’s part of the project is distinguishable for the purposes of assessment, and is appropriate for the award sought. In such a case, the application for admission must indicate clearly the individual’s contribution and its relationship to the group project.
- 2.13 Where a student is seeking to transfer to De Montfort University from another institution, they will be required to complete the full application process. As part of the admissions process the Faculty Head of Research Students or equivalent role and Head of School will consider the application in order to approve or reject the application.
- 2.14 Research conducted previously at another Higher Education Institution (HEI) will be taken into account in assigning a transferring student to an appropriate pathway. As for all students, the application process will serve to confirm the availability of appropriate supervision and suitable technical and/or information resources for continuation of the research. This process also applies to students transferring from another HEI in order to follow a supervisor newly appointed to DMU. At application stage, students should present a portfolio documenting and demonstrating their research progress to date, including copies of any official notification of progression milestones achieved at their previous institution. This will be assessed by the designated supervision team who will make a recommendation as to the appropriate entry pathway for the student, taking into account the achievements, timeliness and intended trajectory of the research. The Faculty Head of Research Students or equivalent role and Head of School will review this recommendation in approving an appropriate pathway for the student, ensuring satisfactory alignment between DMU’s review and monitoring requirements and those met at the previous institution.
- 2.15 For students applying to the PhD programme, transfer will not normally be accepted where students have completed more than 24 months of full-time study or 48 months of part time

study at another UK HEI. Following registration and irrespective of any prior period of research conducted, the student must complete the Probation Review process as described in Regulation 11 and the student will also be required to obtain ethical approval as designated by their Faculty.

2.16 Applicants who do not have Home/EU status and who are proposing to be substantively based at a location outside the UK are eligible for consideration for admission and subsequent registration on the International PhD (IPhD) programme, provided the following conditions are met:

2.16.1 In addition to Regulation 9 regarding the appointment of the supervisory team, only persons who are members of academic staff of the University with relevant research expertise for the applicant's research programme are eligible to be First and Second supervisors. In addition, normally a local advisor shall be nominated. The relevant Research Degrees Committee Faculty Review Panel will require a written case to be made for the absence from the supervisory team of a local advisor;

2.16.2 There must be evidence that appropriate and adequate facilities are available for the student to conduct their research in the remote location and at DMU;

2.16.3 The arrangements proposed for supervision must enable frequent and substantial contact between the student and the UK-based supervisor(s); these arrangements should be approved during completion of a Study Protocol document which must be submitted to the Doctoral College within 3 months of registration for Full Time students and 6 months for Part Time; this contact should be by the most appropriate means such as face-to-face and/or email and/or video-conferencing; the student should normally prepare for and undergo the final oral examination at the University;

2.16.4 Student and supervisor must meet in person at least once per year, normally at the DMU campus; all students must attend the DMU campus at least once prior to submission of their examinable thesis;

2.16.5 Students on the International PhD Programme cannot attend the DMU Leicester campus for more than 7 weeks in a block in any one year; in this instance they will be transferred to full-time based in the UK.

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

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

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

- 2.19.1 admissions procedures are clear and consistently applied;
  - 2.19.2 only appropriately qualified and/or prepared applicants are admitted after a scrutiny of the appropriate references;
  - 2.19.3 admissions decisions involve the judgement of more than one of the institution's staff with relevant expertise and appropriate training;
  - 2.19.4 admissions procedures promote equality of opportunity;
  - 2.19.5 appropriate supervision in the prospective candidate's research areas is available;
  - 2.19.6 language proficiency has been appropriately assessed and, if not yet at the required institutional level, admission will be conditional on reaching that level;
  - 2.19.7 applicants are interviewed and that appropriate measures and records are put in place for overseas students who may be unable to attend an interview at the institution. The Faculty Decision Form must be completed and returned to the Doctoral College by the academic responsible for interviewing the applicant
  - 2.19.8 confidentiality is maintained throughout the process;
  - 2.19.9 the applicant is aware of facilities and space to be made available to them;
  - 2.19.10 the applicant is aware of the choice of supervisory team, nature of the supervisory arrangements and 'contract', and that the supervisors have attended the Certificate in Research Supervision course;
  - 2.19.11 the expectations of the applicant in relation to academic and social conduct and performance are clear;
  - 2.19.12 the applicant is aware of the requirements and availability of training;
  - 2.19.13 applicants have been made aware of any relevant institutional funds/bursaries to support students;
  - 2.19.14 the institution can be assured that the applicant has sufficient financial support to complete the Research Degree Programme.
- 2.20 These criteria must be capable of being demonstrated at audit by appropriate faculty records. The procedures are to be applied to all prospective research students, including those who are self-funded.
- 2.21 An applicant who has been granted admission becomes a student.
- 2.22 If an applicant submits a research proposal which the Faculty considers to be 'sensitive', under the definitions of the University's Policy on Conducting Sensitive Research, then the applicant and research supervisor will be required to comply with the admissions procedures outlined in

the policy. No offer of admission can be processed without full adherence to the Conducting Sensitive Research policy. The policy for Conducting Sensitive Research can be located on the University's research website pages.

### **3. Registration and Payment of Tuition Fees**

- 3.1 An applicant cannot commence their programme of study until they have formally registered as a student studying for a Research Degree. The applicant is expected to register at one of the agreed fixed entry points: 1st October, 1st January or 1st April. Students will be required to re-register on the anniversary of their registration throughout the programme. This means that, unless good reason has been provided for registration to be interrupted or terminated, fees will continue to be charged. Continued registration is subject to the payment of annual fees, their level to be defined by the University.
- 3.2 Once the applicant has registered and the arrangements to pay fees have been agreed, applicants will be issued a student ID card, which allows access to University buildings. The ID card is also the library card and this will need to be shown for access to library facilities or to borrow books. The ID card must be kept safe, as this contains the Student Number, which remains the same throughout the period of registration. Students may also be asked to show their card at any time in any of the University buildings.
- 3.3 Following admission, the student will be assigned two supervisors, who will be responsible for arranging the student's induction to the University, and help the student complete the Development Needs Analysis, organising their programme of study and working with the student to develop their research proposal.
- 3.4 Students intending to register PhD and based in the UK are required to attend the Doctoral College Induction Programme within six months of registration. It is also mandatory to complete research ethics and integrity training, available both face- to-face and online. The faculty might mandate other training for the student (including, for instance, a faculty induction event), and the student will need to complete these too.
- 3.5 Research degree students are required to use their university email address (e.g. P00000076@my365.dmu.ac.uk). This will be the main form of communication between the institution and the student, with key information coming to the student from the Doctoral College and Faculties. All information will be sent to this account and/or posted on Blackboard, and so students will be required to check this account regularly. Students who persistently do not respond to formal communications from the Doctoral College by specified deadlines may be at risk of termination of registration.
- 3.6 At the end of a student's three-year registration period (for full time students) or five- year registration period (for part time students), excluding interruptions, he/she will be automatically placed in a 12-month Research Completion Period during which no fees are paid. MA/MSc by Research students are entitled to a three-month Research Completion Period following one year of registration (for full time students) or two years of registration (for part time students). Should a student fail to submit his/her examinable thesis after the Research Completion Period ends, and after an extension has been agreed, liability for a continuation fee will apply until the thesis is submitted to the Doctoral College for examination.

- 3.7 If the outcome of the viva voce examination is 25.2.4 that the student is required to re-submit for the degree within a period not exceeding 12 months, the student will be liable to pay continuation fees until the revised thesis is submitted for examination to the Doctoral College.

## **4. Registration of Members of Staff as Research Students**

- 4.1 Members of University staff undertaking a research degree of this University must register as research students every year under the same conditions as above. Tuition fees are not waived automatically for DMU staff registered as students but are charged at the standard approved rate for students on similar programmes. Staff however, may apply for their fees to be paid in one of the following ways:
- 4.1.1 from a Faculty or Department's staff development fund with the approval of their Head of Faculty/Department;
  - 4.1.2 from central staff development funds administered by Human Resources (application forms available from Human Resources);
  - 4.1.3 from the appropriate research budget belonging to the Faculty/ Department in which they are studying with the approval of their Head of Faculty/Department.
- 4.2 In each case a letter confirming the source of fees, stating the budget code, signed by the Head of Faculty/Department or the Head of Human Resources, as appropriate, must be provided at registration. If such a letter is not provided, the appropriate tuition fee will be charged to the student until sponsorship details are approved.

## **5. Monitoring of Student Progress**

- 5.1 All students registered for research degrees are subject to annual monitoring to ensure that their progress is satisfactory and that the arrangements for supervision, which include the relationships between the research degree students and their supervisors, are working well.
- 5.2 Progress is subject to annual review, excluding MA/MSc by Research, as outlined in Regulation 20.
- 5.3 Progress is regularly monitored by progress meetings as outlined in Regulations 10.5 -10.10. It is expected that such formal discussions will be recorded (normally at least once per month for full-time students and at least once every two months for part-time students).

## 6. Research Ethics

- 6.1 The University has established two Committees which oversee research programmes (including undergraduate projects) with regard to research ethics. The first is the Animal Welfare and Ethical Review Committee, and its creation was required by legislation. The second is the University Research Ethics Committee (UREC) and deals with the protection of individuals who are the subjects or participants of research (including undergraduate projects).
- 6.2 All students must complete the Ethical Review form designated by their associated Faculty as part of their Probation Review process and, where required, ethical approval must be obtained before commencement of the work to which it pertains.

### **The University Ethical Review and Animal Welfare Committee**

- 6.3 De Montfort University Research Degree Regulations stipulate that where research involves animals, an application for approval must be made to the *University Ethical Review and Animal Welfare Committee*. Without the formal approval of this committee and confirmation of relevant personal and project licence approval from the Home Office, the research must not proceed.
- 6.4 Any member of staff intending to work, or having responsibility for a student intending to work, in these areas should contact the Office of the Pro Vice Chancellor (Research & Innovation) for advice and guidance upon procedures concerning the University Ethical Review and Animal Welfare Committee.
- 6.5 The review process will be undertaken by the Committee which meets at least twice yearly and also oversees the general management of animal research work in the University. This Committee would then set up small working parties, involving individuals with statistical, pharmacological, surgical or experimental design expertise, when necessary, to consider new proposals for, or amendments to, Project Licences.
- 6.6 In respect of collaborative work overseas, researchers must still submit details to the University Ethical Review and Animal Welfare Committee and in addition:
  - 6.6.1 researchers must apply the principles of protecting animal welfare in the course of their research, especially those of refinement, reduction and replacement;
  - 6.6.2 they must conform with local laws;
  - 6.6.3 they must not undertake procedures that could jeopardise the chances of work being published in journals or presented at international conferences.

### **The University Research Ethics Committee**

- 6.7 Where research involves the collection of data directly or indirectly from human participants, an application for approval must be made to the appropriate Faculty Research Ethics Committee which reports to the University Research Ethics Committee, and produces a report

of its activities annually for the Academic Board. Without the formal approval of this committee, the research must not proceed. This includes all research involving human tissues, which is governed by the Human Tissue Act (2004) and is regulated by the University in accordance with the Act. All such work must proceed following established guidelines.

- 6.8 Codes of research ethics relating to research on humans normally identify the following basic principles:
- 6.8.1 *no harm*: people participating in the research should be no worse off as a consequence of their participation. People should endure no physical or mental suffering during or after the research as a consequence of their participation.
  - 6.8.2 *voluntary informed consent*: participants should be given information about the nature and purpose of the inquiry and about what their involvement entails. They should have the capacity to understand such information, and they should give their consent freely and without duress. They should provide the researcher with explicit consent to their participation. Participants have the right to withdraw their consent at any time.
  - 6.8.3 *no deception*: researchers should be as open and honest as possible in their dealings with participants. Data should only be collected for the use the participant has consented to.
  - 6.8.4 *avoid undue intrusion*: researchers should respect the privacy of participants and cause as little disruption as possible in the process of data collection.
  - 6.8.5 *confidentiality*: information collected by researchers should be treated in confidence and not disclosed to third parties
  - 6.8.6 *anonymity*: the identity of participants should not be revealed without their explicit consent, and not in all circumstances.
  - 6.8.7 *security*: data collected should be stored securely and measures should be taken to prevent the loss of, or unauthorized access to, the research data.
- 6.9 Depending on the nature of the research, it might not be possible or desirable to adhere strictly to the basic principles outlined above. For example, psychological experiments might require some initial deception of participants as a necessary part of the research design. In some observational research, as another example, it might not be feasible to obtain formal written consent from participants. Where research does not adhere to the basic principles, researchers must provide an appropriate justification of their approach.
- 6.10 All research degree students must complete the appropriate ethical review procedure designated by their Faculty Research Ethics Committee before applying for Probation Review. The application should normally be made to the Faculty's designated Research Ethics Officer; further information is available on the website.
- 6.11 The above requirements and procedures must also be upheld by DMU staff and their students for collaborative work overseas.

## 7. Research Degree Procedures (Forms)

- 7.1 The procedures for research degrees are governed by information given on a number of forms, each of which relates to a different stage in the student's progression from the first project review through to the final examination, as appropriate. These forms are to be found in the relevant milestone on the PGR records management system as below:
- 7.1.1 First Project Review
  - 7.1.2 Probation Review
  - 7.1.3 Change in Mode Request
  - 7.1.4 Change in Supervision Request
  - 7.1.5 Extension to Registration Request
  - 7.1.6 Interruption to Registration Request
  - 7.1.7 Withdrawal Request
  - 7.1.8 Examination Arrangements
- 7.2 All forms are submitted to the Doctoral College via the PGR records management system and will be considered by the relevant Research Degrees Committee Faculty Review Panel.
- 7.3 All forms must be completed on the PGR records management system. No additional papers or attachments other than, where appropriate, curriculum vitae of supervisors or examiners, can be submitted.
- 7.4 It is important to ensure that all forms are authorised by the student and the supervisors as appropriate. The Research Degrees Committee Faculty Review Panels will not consider forms which do not have the appropriate authorisation.
- 7.5 Procedures for the examination of students involve the completion of a number of forms, prior to and at the end of, the oral (viva voce) examination. Where applicable, forms must be completed via the PGR records management system upon completion of the examination, or, in the case of the pre-viva forms by the examiners, 5 days prior to the viva voce. These forms are:
- 7.5.1 Pre Viva: Examiners' pre-viva assessments and reports (completed by each examiner prior to the viva voce);
  - 7.5.2 Examiners' Report Form for students of Research Degrees; and
  - 7.5.3 A Student Declaration Form to be completed by the student in the PGR records management system.
- 7.6 The Doctoral College will dispatch copies of the thesis, together with copies of the 'Guidance Notes for Examiners' to all examiners as soon as the thesis has been formally submitted by the student and examination arrangements have been approved.

## 8. First Project Review, Confidentiality, IPR

- 8.1 Once registered on the research degree, probationary research degree students must complete the First Project Review. The First Project Review is a separate procedure from registration and needs to be completed only once. DBA students are not required to complete First Project Review due to the first year of the course being a taught programme.
- 8.2 Application for approval of first project review must be made to the Research Degrees Committee Faculty Review Panel, within four months of registration for full-time students and within eight months for part-time students. Those proposing to study for the MA/MSc by Research must complete their applications within three months of registration for full-time students and within 6 months of registration for part-time students. If an application is not made to the Research Degrees Committee Faculty Review Panel, within these periods, the student's progress is deemed to be unsatisfactory and the University has the right to terminate the registration, unless a case for extending the First Project Review deadline is approved by the relevant Faculty Head of Research Students or equivalent role.
- 8.3 The First Project Review form on the PGR records management system must be completed in collaboration with the assigned supervisors. It is important to ensure full and accurate completion of all parts of this form. The information contained on the form is the sole basis on which the relevant Faculty Review Panel decides whether or not to approve the First Project Review. Please note that the Faculty Review is an electronic procedure and does not involve a face to face meeting. The Review will be conducted by either the relevant Institute Head of Research Students (IHRS) or the relevant Faculty Head of Research Students or equivalent role (or nominee). The form requires the following:
  - 8.3.1 information about the student applying for first project review for a research degree;
  - 8.3.2 information about the proposed topic of research, its aims, methods and intellectual content. When proposing the working or final title of a thesis, acronyms must not be used;
  - 8.3.3 information about the proposed supervision arrangements for the student;
  - 8.3.4 information regarding ethical and other approval required (see Regulation 6);
  - 8.3.5 a completed Development Needs Analysis indicating areas requiring development in the first phase of the PhD;
  - 8.3.6 a statement from the supervisors on discipline-based expectations of the research student for the Probation Review (to be initiated at 9 months full-time/18 months part-time, and completed by 12 months full-time/24 months part-time).
- 8.4 The information given will indicate the adequacy of the proposed supervision arrangements. The supervision team proposed must have the expertise to cover all aspects of the research project and must include experience of successful supervision of previous research degrees.
- 8.5 The First Project Review is dependent essentially on the research topic chosen and the nature,

level and appropriateness of the methods to be followed. It is vital, therefore, that the proposed programme of research is fully and clearly described.

- 8.6 The aims of the research need to be formulated precisely, stating clearly what the programme of research sets out to achieve. The proposed research must be placed in the context of other work in the field, specifying its relationship to previous research, in terms of theories and empirical work. It is important to cite key texts and indicate how the proposed research builds upon earlier work in the field.
- 8.7 The methods of investigation to be pursued need to be described and details must be provided, as appropriate, of:
  - 8.7.1 the location of the proposed research (e.g. when, where, etc.);
  - 8.7.2 the methods to be used in the investigation (e.g. descriptive, experimental, etc.);
  - 8.7.3 the instruments to be used or devised (e.g. computer equipment, questionnaires, etc.);
  - 8.7.4 the techniques of analysis to be used;
  - 8.7.5 the rationale for the selection of the particular methods, instruments and techniques.
- 8.8 It is also important that the expected outcomes of the research are outlined in terms of, for example, the construction of prototypes, the generation of principles or the formulation of theories and how these might contribute to the discipline. If applicable there must be an indication of the progress expected to be made by the Probation Review.
- 8.9 If the research is to be conducted by other than the standard form, such as through Exhibition, Performance, Creative Writing or other similar work, the form in which the outcomes of the research are to be presented and the ways in which it might be assessed must be indicated with the First Project Review.
- 8.10 Exceptionally, the thesis may need to be classified as confidential for a period of up to three years from the conferment date. Approval of such restriction must, whenever possible, be sought at the time of the First Project Review. Approval at a later stage is possible if change in circumstances or research direction dictate such a need.
- 8.11 Applications must give precise and relevant reasons for seeking restriction of access. The Research Degrees Committee Faculty Review Panel will normally only approve an application for confidentiality in order to enable a patent application or similar protection of Intellectual Property to be lodged or to protect commercially sensitive material. For information relating to Intellectual Property Rights, refer to the General Regulations and Procedures affecting students.
- 8.12 The copyright and other intellectual property rights in relation to theses and other work prepared and submitted by students in the course of their studies shall belong to the University, except where specifically agreed otherwise by the University in writing. However,

nothing in the Regulations shall be considered to be a waiver of the moral rights of the students.

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

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

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

8.15.1 a Development Needs Analysis has been satisfactorily completed and consideration has been given to research skills as well as professional development skills that will support the overall development of the candidate;

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

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

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

8.15.5 any requested confidentiality will be considered;

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

8.15.7 at least two members of the supervision team are demonstrably research active academics with relevant knowledge and skills to supervise;

8.15.8 the proposed working title does not include acronyms;

8.15.9 students registered for the award of PhD have been given a clear indication of the extent of progress expected by the time the student submits their Probation Review.

8.16 The Research Degrees Committee Faculty Review Panel shall:

8.16.1 confirm First Project Review; or

- 8.16.2 confirm First Project Review on condition that certain requirements as requested by the Research Degrees Committee Faculty Review Panel are met. If conditions of First Project Review are not met within the specified deadline of one month, this may lead to termination of registration; or
- 8.16.3 dismiss the application, in which case the First Project Review of the student shall not be approved, and the student's registration shall end. If the decision to dismiss the application is on academic grounds, evidence of monitoring as detailed in Regulation 10.2.13, including evidence of due warnings to the student, is required.

## **9. Nomination and Appointment of Supervisors**

- 9.1 When a student is admitted for a research degree and enters the probationary period, the Faculty Head of Research Students or equivalent role (or nominee) shall approve the nomination of two supervisors. Supervisory arrangements are approved by the Research Degrees Committee Faculty Review Panel at First Project Review. Any future changes to supervisory arrangements must be submitted by the First Supervisor (or nominee) for approval by the Faculty Head of Research Students or equivalent role (or nominee).
- 9.2 The University will require the supervisory team to have a combined experience of supervising at least two research degree students to successful completion. In the case of a PhD, one of the supervisors must normally have successfully supervised at PhD level and completed the Self-Certification of Supervision form which can be obtained from the Doctoral College.
- 9.3 All decisions of the Research Degrees Committee Faculty Review Panel at First Project Review are sent to student and the First Supervisor.
- 9.4 A person who is registered for a research degree is ineligible to act as a Supervisor for another research degree student.
- 9.5 Only persons who are members of academic staff of the University are eligible for appointment as first supervisor. The first supervisor will always be a DMU employee. The definition of a DMU employee is anybody who has a contract of employment which can be full or part time, permanent or fixed-term. We would not normally expect a part-time hourly paid lecturer to perform supervisor duties. Those with Honorary Contracts are not employees.
- 9.6 The second supervisor will also normally be a DMU employee. However, when there is a justification, we will consider engaging a second supervisor who is not an employee. In such an instance, an honorary contract will be requested by the first supervisor, which will include the rationale for engagement. The first supervisor will also be required to provide a copy of the CV of the proposed second supervisor. The appointment will need to be supported by the Associate Dean of Research and approved by the Faculty PVC and Dean.
- 9.7 An external second supervisor might be required as part of a doctoral training consortium arrangement where supervision is managed across educational or healthcare institutions. In these circumstances, the partnership will be considered on its individual merits and a suitable contractual arrangement agreed.

- 9.8 Emeritus Professors at DMU will normally be covered with an existing arrangement so they are unlikely to require an honorary contract.
- 9.9 A separate advisor can be involved to provide ad hoc input to a project, providing expertise or input is not available from the rest of the supervisory team, for example, input from industry or knowledge of esoteric/specialist information. However, an advisor is not expected to provide regular general supervisory support or engage with DMU administration systems or processes, such as the PGR records management system.
- 9.10 A member of academic staff should normally be supervisor to no more than 7 FTEs and 12 students (head count) for a research degree at any one time. In exceptional circumstances a supervisor may submit a request to supervise up to 10 FTEs and 15 students. The application can be made with the approval of the Dean of Faculty for an individual to take on an additional supervisory load for a specified period.
- 9.11 The calculation for FTEs is based on student mode of study and supervisory roles as follows: FT First Supervision = 1 FTE, PT First Supervision = 0.5 FTE, FT Second Supervision = 0.5 FTE, PT Second Supervision = 0.25 FTE.
- 9.12 All nominated supervisors must have attended the Certificate in Research Supervision (CRS) course parts 1 and 2. Experienced supervisors who have successfully supervised at least one student to PhD level may apply for exemption from CRS part 1 by completing the Self-Certification of Supervision form which can be obtained from the Doctoral College.

## **10. Responsibilities of Supervisors and of Students**

- 10.1 The principal responsibilities of the Supervisors are:
- 10.1.1 to read and comply with the current version of the Research Degree and Higher Doctorate Regulations and such University documents as are relevant to the work including those dealing with ethics, intellectual property rights and health and safety. They must ensure that the student is aware of regulations which affect his/her conduct and/or work;
  - 10.1.2 to ensure that a student on initial registration, i.e. during his/her probationary period, is introduced to staff and the local environment; local facilities, both technical and social; other University facilities such as the library, the Student's Union, the Health Centre and refectories, and is made aware of safety procedures and fire evacuation routes;
  - 10.1.3 to give assistance to students in defining and planning the research topic and the associated timetable. Be part of the probationary supervisory team which undertakes the Development Needs Analysis with the student, within four months of registration for full-time probationary students and eight months for a part-time probationary student. This will help determine the content of the individual student's training programme;
  - 10.1.4 to reinforce advice and guidance on key aspects of the PhD process in the

Researcher Development Programme, including: research design and planning; research methods, literature searches, sources and referencing; the presentation of academic work; ethical and legal matters including plagiarism and intellectual property rights;

- 10.1.5 to ensure that the student attends and fulfils any requirements in terms of training mandated by the Faculty;
- 10.1.6 to assist students in the preparation of First Project Review and Probation Review;
- 10.1.7 to maintain regular contact through formal, scheduled meetings held with students which should be set at the start of each academic year. The whole supervision team should meet with the student at least once a year;
- 10.1.8 to attend the University supervisor-training course leading to the Certificate in Research Supervision. Details of this can be gained from the Doctoral College. It is expected that all research supervisors in the University will have attended the course. No supervision team will be approved unless at least one member has successfully completed the course.

### **Distinct Responsibilities of the First Supervisor**

10.2 The distinct responsibilities of the First Supervisor include:

- 10.2.1 prior to admission, to liaise with the Faculty staff member responsible for the commitment of funds to research projects to ensure that appropriate funding is available for the research project;
- 10.2.2 to make certain that all the necessary documentation and procedures concerning the approval of successive stages of the student's progress from registration to the final degree are dealt with. The First Supervisor must confirm that all documentation is accurate and complete and ensure that it is submitted to the Doctoral College in good time for onward processing;
- 10.2.3 to liaise with the student to ensure that the Doctoral College is kept informed of any changes to a student's registration details;
- 10.2.4 to take overall responsibility for providing academic leadership for the student's programme of research work, via constructive criticism, at the appropriate stages in the work, with an overall objective of attempting to instil progressively greater independence in the student as the project progresses. The First Supervisor must ensure that any weaknesses are drawn to the student's attention in a timely manner and that the student is given the opportunity to take remedial action with guidance (see regulation 10.2.13);
- 10.2.5 to keep any external sponsors of a research student informed of the progress made by the student on his/her project on a regular basis as requested by the sponsor or the Doctoral College;

- 10.2.6 to take an active role in introducing the student not only to fellow workers and staff in the institution but also to external researchers in the field and to the appropriate academic bodies and societies;
- 10.2.7 to ensure the continuity of supervision for his/her students. This will include co-ordinating the contributions to the supervision by second supervisors and advisors. To make alternative arrangements if any member of the supervisory team is unavailable for a significant period of time;
- 10.2.8 to maintain regular, and appropriately frequent contact, with the student. This should be both by an established schedule of formal meetings and via ad hoc and informal interactions. The scheduled meetings must be largely free of interruptions and of sufficient duration to allow for detailed discussion of the student's work. Their frequency should be tailored to suit the current stage of the research programme but normally be once per month for full-time students, and once every two months, for part-time students;
- 10.2.9 to ensure an Annual Review Panel is held to monitor the progress of the student on his/her research and to monitor development needs each year following the Probation Review in the first year (for full-time students, and two years for part-time). This will be organised by the First Supervisor (or nominee).
- 10.2.10 to seek independent advice, as appropriate, from the Faculty Head of Research Students, or equivalent role, or the APVC Research on supervisory issues. This is likely to be especially relevant where the supervisor has concerns about a student's ability or application to the research programme;
- 10.2.11 to ensure the student makes notes of scheduled formal meetings via the 'Progress Report' form. This process must be completed via the PGR records management system. These will contribute to monitoring and assessing a student's progress in relation to the agreed schedule of work. It is also to be expected that Second Supervisors would contribute to these scheduled meetings on a regular basis to ensure that Second Supervisors provide support services as appropriate. A joint meeting of the whole supervision team should take place at least once a year;
- 10.2.12 to ensure that the student is aware of the need to exercise probity in the conduct of research, and of the implications of research misconduct;
- 10.2.13 to make the student aware of any unsatisfactory work or progress and as appropriate to suggest such action as might be taken on a remedial basis;
- 10.2.14 to ensure the participation of their students in internal research seminars. This will include the presentation to research colleagues of their current research findings;
- 10.2.15 to encourage students to submit papers for publication when appropriate parts of the research are completed;
- 10.2.16 to keep the student informed of the necessary completion dates of various stages

of their work, particularly the Probation Review and annual reviews thereafter, in order to ensure timely completion;

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

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

10.3 Whilst it is the Doctoral College that coordinates the examination process, the First Supervisor must co-ordinate the below elements of the examination process (with delegation to the second supervisor where necessary):

10.3.1 complete the “Exam Arrangements” form on the PGR records management system at least three months prior to the submission of the thesis and to submit the form to the Doctoral College for approval by the relevant Faculty Head of Research Students or equivalent role and the APVC Research;

10.3.2 enable the student to comment on the choice of examiners;

10.3.3 inform the examination team of their nomination;

10.3.4 normally, if the student requests, to hold a mock viva.

## **Principal Responsibilities of the Student**

10.4 The principal responsibilities of the student are:

10.4.1 to familiarise themselves with the current version of the Research Degree and Higher Doctorate Regulations and such University documents as are relevant to his/her work including those dealing with ethics, intellectual property rights and health and safety. Students must comply with these documents;

10.4.2 as soon as possible after registration, to discuss and agree with their First and Second Supervisors (who are allocated to the student by the Dean of Faculty or nominee, subject to approval by the Research Degrees Committee Faculty Review Panel, on first project review) the following aspects of their work:

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

10.4.2.2 the schedule of work and associated broad timetable, taking into account holidays and any proposed times of absence from the institution. In

- particular paying attention to the timing of the probation review in line with Regulation 11;
- 10.4.2.3 the methodology to be employed for the work recognising the need for this to be kept under review as the project proceeds;
  - 10.4.2.4 completion of the Development Needs Analysis/Statement as part of the First Project Review, completing induction and ethics and integrity training, and any other training mandated by the supervisor/faculty;
  - 10.4.2.5 the broad programme of attendance required at internal seminars as well as external conferences, which are relevant to the area of work;
  - 10.4.2.6 the constitution of the supervisory team for the research degree programme, identifying the first Supervisor, second supervisor(s) and any advisors;
  - 10.4.2.7 the completion of the First Project Review form for a Research Degree on the PGR records management system within the time stipulated in the regulations.
- 10.4.3 to inform the University Doctoral College of any alterations or amendments to the registration or first project review details in consultation with the first supervisor;
  - 10.4.4 to ensure that the institution through the University Doctoral College and First Supervisor is able to make contact with him/her when he /she is not on campus;
  - 10.4.5 to take ultimate responsibility for his/her research activity and candidacy for the degree and to appreciate that this will require a commitment to give sufficient time and effort to the research programme until it is completed. The student must maintain the progress of the work in accordance with the stages agreed with supervisors, including, in particular, the presentation of written material, as required, in sufficient time to allow for comments and discussion before proceeding to the next stage. This will include providing reports on his/her work as required. Failure to take ultimate responsibility and engage with their studies will trigger the Doctoral College Non-Engagement Procedure which will result in the closure of registration.
  - 10.4.6 to work to the highest professional and ethical standards, seeking guidance from ethical codes if appropriate via the first supervisor (Regulation 10.2.12);
  - 10.4.7 to have regular interactions with the supervisors (especially with the first supervisor) throughout the programme of work, having established at the outset a schedule of formal meetings. The frequency of these should be in accord with the stipulated University minimum values (normally at least once per month for full-time students and at least once every two months for part-time students). They should heed the advice on any matters which arise from such meetings and accept the importance of being frank and honest about perceived difficulties as and when they occur. One of the objectives of such meetings is to prevent more serious problems from arising later in the research programme. Students must therefore

- take the initiative in raising problems or difficulties, however elementary they seem;
- 10.4.8 to also engage with the supervisor on ad hoc and informal discussions as the need arises;
- 10.4.9 to maintain detailed, full records of their academic progress via the regular submission of 'Progress Reports'. It is a requirement that full-time students submit such reports monthly and part-time students at least every other month. This process must be completed via the PGR records management system. Supervisors will require these records as part of their monitoring of the student's progress. The University Doctoral College, UKVI and/or any funding body can require to see such records;
- 10.4.10 to continue to submit progress reports at all times until the submission of their thesis and when in the post-viva corrections stage. The Doctoral College monitors the submission of regular progress reports. Any full-time student who has not submitted a progress report for 3 consecutive months and any part-time student who has not submitted a progress report for 5 consecutive months will be deemed non-compliant and persistent non-compliance of progress report submission may lead to the termination of registration;
- 10.4.11 to undertake a minimum of at least 35 hours of study per week throughout the year (pro rata for part-time students). Students are normally not expected to take more than eight weeks leave each year (including statutory holidays and the period when the University is closed over Christmas & New Year). Students are expected to schedule leave so that it does not conflict with your research. All leave should be notified to a member of your supervisory team;
- 10.4.12 to complete the Probation Review at the appropriate time ensuring documentation on the PGR records management system is prepared in accordance with the regulations and in consultation with the first supervisor;
- 10.4.13 to decide the time for the submission of the thesis for examination in consultation with the first supervisor within the time stipulated by the regulations;
- 10.4.14 to pass to the first supervisor by the end of the examination procedures and before graduation, material such as laboratory notebooks, computer coding and studio maquettes produced as a necessary part of the project, which remain the property of the institution. If appropriate, the supervisor may authorise, on behalf of the University, the production of copies of such material for the student's subsequent use.

### **Progress Meetings Between Research Students and Supervisors**

- 10.5 Research students and their supervisors must discuss their work regularly as an essential part of the teaching and learning contract between the student and the University;
- 10.6 Research supervisors must be able to show evidence that not only have regular progress

meetings taken place, but also that the main points of discussion have identified the present stage of a student's research programme and advice has been given upon how to proceed.

- 10.7 Progress reports are still required when students are in the Research Completion Period of their research and up to submission of their thesis and when in the post-viva corrections stage. The Doctoral College monitors the submission of regular progress reports. Persistent non-compliance of progress report submission may lead to the termination of registration.
- 10.8 The progress report form identifies the important parameters for such discussion. Such formal discussions should occur normally at intervals no longer than one month for full-time research students and normally no longer than two months for part-time students.
- 10.9 A progress report must be completed by the student and signed off by a member of the supervisory team. The supervisor has an opportunity to amend/update the record. This process must be completed via the PGR records management system.
- 10.10 The Faculty Head of Research Students or equivalent role will review the progress of the research students and check that regular discussions between supervisors and their students have been taking place.

## **11. The Probation Review**

- 11.1 All doctoral students registered on or after 1<sup>st</sup> October 2019 shall submit a Probation Review between 9 and 12 months of full-time registration or 18 months and 24 months of part-time registration. These deadlines are calculated from the original registration date.
- 11.2 It is imperative that the 12-month full-time or 24-month part-time deadline is adhered to. Failure to do so will result in the termination of registration.
- 11.3 DBA students are to complete their Probation Review between 12-24 months.
- 11.4 The purpose of the Probation Review is:
- 11.4.1 To assess the capability of the student to conduct research, including indication of sufficient progress to date;
  - 11.4.2 To assess the viability/feasibility of the proposed research plan;
  - 11.4.3 To recommend any further training required.
- 11.5 The Probation Review paperwork will include:
- 11.5.1 The student's probation review report of 5,000 to 10,000 words;
  - 11.5.2 An independent report on the progress and capability of the student, identifying any areas of concern, from the two supervisors;

- 11.5.3 A work plan, with key milestones, on how the student proposes to complete their degree on time;
- 11.5.4 A record of training completed (including any mandatory requirements identified by the faculty or the supervisory team).
- 11.6 Students and supervisors are required to complete the Probation Review Form on the PGR records management system. To support the application, students must provide a Probation Review Report of between 5,000 and 10,000 words. The report should describe the work done and outcomes and conclusions reached. On the form, the student must provide a summary of the progress made in the research, which is an abstract of the probation review, of no more than 500 words. In addition to the abstract, the student will also need to provide an outline showing how the work already completed will be extended to meet the requirements of the PhD. This will include a work plan with key milestones, which might be supported with Gantt charts.
- 11.7 The Probation Review report submitted by the student should include:
  - 11.7.1 a brief review and discussion of the work already undertaken including a review of relevant sources and methodologies as well as a plan of further work; and
  - 11.7.2 an annotated list of chapter headings, indicating the overall thesis structure; a provisional timetable for the completion of each draft chapter; one or two draft chapters, or, in the case an exhibition, performance or other creative work, a presentation of work, recorded or live; a statement outlining the rationale, methodology and theoretical perspectives of the thesis, including details of the original contribution to knowledge which is likely to emerge.
- 11.8 Students registered for a research degree by Exhibition, Performance, Creative Writing or similar work (Regulation 19) should also present examples of the work completed to support the Probation Review, which in this case will be within the range of 3,000 - 5,000 words. The form in which the work is presented must be appropriate to the nature of the work, such as an exhibition or a performance. Students must also be prepared to discuss the work so presented with the Internal Assessor(s) if he/she wishes.
- 11.9 As part of the Probation Review, students registered for the PhD by Concurrent Publication shall also present an outline of the projected focus, research aims and methods relevant to each paper planned for the submission as an indication of the way the papers will reflect to the proposed stages of the research. This should normally constitute no more than 2,000 words within the overall word count. This element of the Probation Review report should satisfy the Internal Assessor of the coherence of the student's research trajectory.
- 11.10 The Probation Review process requires supervisors to report on two aspects of the research programme. First, they need to comment on the student's progress on the programme of research as approved at First Project Review, which refers not only to the research project itself but also to the programme of related studies, including the training programme. Secondly, they need to report on the quality and suitability of the plan for the future work with regard to its potential for achieving PhD level.

- 11.11 The supervision team will nominate one internal assessor. The Faculty Head of Research Students or equivalent role (or nominee) will approve the proposed appointment. The Doctoral College will dispatch all documentation to the assessor. The Institute of Head of Research Students or equivalent will act as Chair for the Probation Review to ensure due process is followed, and there is consistency in review processes across the institute/school.
- 11.12 The assessor should be able to assess the quality of the specific content of the Probation Review and give guidance on the overall suitability of the project in terms of achieving research degree standards.
- 11.13 A member of staff registered for a research degree cannot be nominated to be the internal assessor for a probation review.
- 11.14 Where, exceptionally, a probation review has been referred for revision, it is expected that the student, with guidance from the supervisor, will spend an intensive period putting together the revised document so that re-submission can take place within 6 months.
- 11.15 The Probation Review Panel can make the following recommendations:
- 11.15.1 The research student has successfully completed probation for the degree for which they are registered and should be permitted to continue as a registered student;
  - 11.15.2 The student has not successfully completed probation and will be required to remain on probation for a period of no more than six months and complete a further and final probation review at the end of that period (only to be used in exceptional circumstances);
  - 11.15.3 The student has not successfully completed probation for the degree for which they are registered and should be permitted to register for a lower award (only in the case of research students registered for the degree of PhD or equivalent);
  - 11.15.4 The student has not successfully completed probation and should have their registration terminated.
- 11.16 Students submitting their Probation Review will be required to undergo a formal interview with the assessor. The student will be informed of the arrangements for the interview by the supervisor. Where a Probation Review has been referred for re-submission, a second interview with the assessor is at their discretion.
- 11.17 Before approving the probation review to confirm PhD status, the Research Degrees Committee Faculty Review Panel must be satisfied that the student has made sufficient progress and that the proposed programme provides a suitable basis for work at PhD standard which the student is capable of pursuing to completion. All students will be required to undertake an oral assessment as part of the probation review process.
- 11.18 In the case of a student registered for PhD by Concurrent Publication, a further possible outcome is the requirement that the student revert to the conventional dissertation route. If the Probation Review is declined by the Faculty Review Panel this will result in the registration

reverting to that of Master of Philosophy. In that case, a student registered to complete the PhD by Concurrent Publication will be required to present a conventional MPhil dissertation.

11.19 Ethical Review shall be an obligatory part of the probation review process for all research degree students.

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

11.20.1 within the law

11.20.2 with academic integrity

11.20.3 in accord with a relevant code of research ethics

11.21 Research students and their supervisor must seek ethical or statutory approval for research involving human or animal subjects, lasers, biological and/or radiological hazards prior to commencement of work that falls within such approvals.

11.22 The responsibilities of students are detailed below:

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

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

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

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

11.22.5 responsibilities of the University with regard to the ethical approval of research undertaken as part of a research degree are specified in Section 6 of the University's Research Degrees Regulations.

### **Nomination of Internal Assessor and Guidelines**

11.23 In putting forward an application for Probation Review, the supervisor will be asked to nominate one member of university staff as a potential Internal Assessor. The supervisor shall obtain the consent of the internal assessor prior to their possible appointment and in advance of submission of the probation review and form. The Faculty Head of Research Students or

equivalent role (or nominee) approves the nomination for appointment as the Internal Assessor.

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

11.25 In order to assess the suitability of a probation review, Internal Assessor should take note that:

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

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

11.26 After scrutinising the probation review and conducting the formal interview with the student, the Internal Assessor submits a report to recommend or not recommend that the probation review be approved by the Faculty Head of Research Students or equivalent role (or nominee). This approval also includes a moderation of the report submitted by the Internal Assessor to ensure there is consistency in review processes across the institute/school.

## 12. Lengths of Registration and Maximum Periods of Time Before Submission

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

	<u>Minimum</u>	<u>Maximum</u>
<u>MPhil</u>		
Full-time	12 months (1 year)	24 months (2 years)
Part-time	24 months (2 years)	48 months (4 years)
<u>PhD</u>		
Full-time	36 months (3 years)	48 months (4 years)
Part-time	48 months (4 years)	72 months (6 years)
<u>PhD by Concurrent Publication</u>		
Full-time	36 months (3 years)	48 months (4 years)
Part-time	48 months (4 years)	72 months (6 years)
<u>PhD by Published Works</u>		
Part-time	12 months (1 year)	24 months (2 years)
<u>PhD through Extended Professional Practice</u>		
Full-time	12 months (1 year)	24 months (2 years)
Part-time	24 months (2 years)	48 months (4 years)

MA/MSc by Research

Full-time	12 months (1 year)	15 months (1 ¼ years)
Part-time	24 months (2 years)	30 months (2 ½ years)

DBA

Full-time	36 months (3 years)	48 months (4 years)
Part-time	48 months (4 years)	72 months (6 years)

- 12.2 Extensions beyond the maximum period are solely at the discretion of the Faculty Head of Research Students or equivalent role (or nominee) and APVC Research. Application for an extension must be made to the Panel, on the PGR records management system and with the support of the student's First Supervisor, **before** the approved period of registration has expired.
- 12.3 Approved interruptions will be taken into account when a student submits an Extension to Period of Registration form on the PGR records management system.
- 12.4 Submissions after the approved period of registration are not permitted, unless with the approval of the Faculty Head of Research Students, or equivalent role, on exceptional grounds.

## 13. Extension of Period of Registration

- 13.1 Where you may need to go beyond your maximum registration period, normally you can apply once for your period of registration to be extended to take account of the changed circumstances. The maximum period of time for which extension can be considered is twelve months. You should note that you will continue to be liable for fees during an extension period.
- 13.2 When submitting an Extension to the Period of Registration form on the PGR records management system, the student must produce a thesis outline agreed with the supervisor and can present such evidence to represent his/her case. An interview will be held, either face to face, or over the telephone by the Faculty Head of Research Students or equivalent role or nominee and they will forward the recommendation to the APVC Research for approval.
- 13.3 The internal assessor will assess the application on the following criteria:
- 13.3.1 Substantial progress already made with respect to an agreed thesis outline;
  - 13.3.2 Whether the work is still timely;
  - 13.3.3 Availability of time and resources to complete the work;
  - 13.3.4 Whether there has been a significant disruption of studies sufficient to warrant the extension requested

13.3.5 Supporting written evidence will normally be provided, for example:

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

13.4 Examples which are unlikely to lead to agreement on extension:

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

## **14. Interruption of Registration**

- 14.1 Where you are prevented from carrying out all aspects of the research, by a good cause, you may apply for your registration to be interrupted. You can normally apply for up to two periods of interruption to your registration. Short interruptions, for example short breaks due to illness, will not warrant the granting of an interruption.
- 14.2 Applications must be made to the Faculty Head of Research Students or equivalent role (or nominee), using the appropriate form on the PGR records management system and with the authority of the First Supervisor (or nominee). Interruptions of study are normally granted for not less than six months and no more than one year. The Faculty Head of Research Students or equivalent role, or nominee, interviews the student, if necessary, and forwards a recommendation to the APVC Research for approval.
- 14.3 The application will be assessed based on whether there is likely to be a significant disruption of studies sufficient to warrant the interruption requested.
- 14.4 Supporting written evidence will be required, for example for:
  - 14.4.1 Accidents (accompanied by a medical certificate);
  - 14.4.2 Death of a close relative (accompanied by a death certificate);

- 14.4.3 Ill health (of the student, accompanied by a medical note);
  - 14.4.4 Serious ill health of a close relative (accompanied by a medical certificate, especially where the student has to assume the role of carer);
  - 14.4.5 Unexpected events e.g. theft (accompanied by a police report), equipment not being delivered or failing equipment;
  - 14.4.6 Parental leave (the student should make a request before the leave is due to begin);
  - 14.4.7 Problems beyond the control of the student (e.g. problems originating in the school, such as the supervisor leaving the university).
- 14.5 The Panel will not consider retrospective interruptions. Exceptionally, a retrospective interruption may be granted by the APVC Research.
- 14.6 Fees are not payable during an interruption of registration because it is assumed that resources, such as library study and/or lending access and access to the supervision team are not being used. If supervision continues, then the student status reverts to active fee paying.
- 14.7 If interruption of registration is approved, the Doctoral College will notify relevant departments within the University to ensure that your registration is also interrupted for the same period. An extension of an equal duration to the interruption will be added to the student timeline. If an equal extension is not required, the relevant question on the interruption form should indicate this. On return to the University, the Doctoral College needs to be informed that the student is resuming studies. It is not necessary to apply for **registration** for the research degree to be restored but it is necessary for the student to complete the **re-registration** procedure with the Doctoral College (where relevant).
- 14.8 UK Research and Innovation (UKRI) guidelines shall be adhered to when a scholarship student interrupts due to Maternity, Paternity or Adoption leave.

## 15. Change in Approved Mode of Study

- 15.1 When the research student registers for a research degree, approval is given for the programme of research to be pursued either full-time or part-time. If, through a change of circumstances, such as a change in employment or in financial position, a student wishes to change their mode of study from full-time to part-time, or vice versa, the student must apply to the Faculty Head of Research Students or equivalent role (or nominee) for approval. A change in mode of study affects the date by which the student would be expected to complete their programme of research. Guidance should be sought from the Doctoral College on the revision of expected dates of completion.
- 15.2 Overseas students who are studying full-time in the UK would have to prove that their visa

status allows a change to part-time study

- 15.3 Students will need to complete the Change in Mode Request form on the PGR records management system, clearly stating the change they wish to make, and indicating, in consultation with the Doctoral College, the date on which the change comes into effect. Students also need to indicate the main reason for wishing to change their mode of study, and their application must be supported by their supervisors to indicate that they recommend the proposed change.
- 15.4 Should the change be approved, the Doctoral College will ensure that relevant departments within the University are informed so that adjustment can be made to fees, where relevant.
- 15.5 No change of mode shall be considered following the commencement of the Research Completion Period. This is to ensure that University statistics more accurately reflect the mode under which the work was carried out. There is no negative implication for the student with respect to fees.

## **16. Change in Approved Arrangements for Supervision**

- 16.1 The supervision team approved by the Research Degrees Committee Faculty Review Panel at First Project Review is an integral part of the research programme. If there is a change in circumstances, such as one of the supervisors leaving the employment of the University or a shift in research direction which requires different or additional subject expertise, it may be necessary to seek approval for a change in supervisors. It is important to note that, in order to avoid potential difficulties, approval for any change in supervisors needs to be sought as soon as possible. Any proposals for a change in the supervisory team can only be made with the agreement of the student, and is the responsibility of the First Supervisor (or nominee).
- 16.2 The First Supervisor (or nominee) will need to complete the Change in Supervision Request form on the PGR records management system. The reason for the change needs to be described and details of the proposed supervisory team given. If a new supervisor is proposed who has not been approved previously by the Research Degrees Committee Faculty Review Panel as a supervisor, the supervisor's curriculum vitae must be submitted with the application. The student must confirm to indicate that he/she is in agreement with the proposed change.

## **17. Continuation and Termination of Registration**

- 17.1 Continued registration shall be subject to annual monitoring (see Regulation 20).
- 17.2 If a supervisor considers that a research student's academic performance or progress is unsatisfactory, the concerns should be specified in writing to the student normally using the appropriate 'Progress Report' form.
- 17.3 A student who is notified of unsatisfactory academic performance or progress has the right to

seek advice from the Faculty Head of Research Students or equivalent role. Supervision of the research should continue following the notification.

- 17.4 If a supervisor considers that a student's performance or progress continues to be unsatisfactory, action may be taken to terminate the registration of the student. However, the action to terminate registration may only be taken after a period of time that allows the student to remedy the specified problems. In the case of full-time students, any action to terminate registration must be taken no sooner than two months and no later than six months following the formal notification of unsatisfactory performance or progress. For part-time students, any action to terminate registration must be taken no sooner than six months and no later than twelve months following the formal notification of unsatisfactory progress.
- 17.5 If termination is chosen as the action to be taken, the appropriate form should be used. The final decision to terminate will be taken by the APVC Research upon receipt of the necessary signatures.
- 17.6 If the registration of a student is terminated under this provision, the Doctoral College will notify the student in writing of his/her termination of registration, specifying the date from which this takes effect. The formal regulations concerning what to do if a student wishes to appeal against a decision to terminate his/her registration are contained in Chapter Eight of the General Regulations and Procedures Affecting Students, available on the University's Academic Support Office web pages. A student appeal form must be submitted to the Student Appeals and Conduct Officer within 21 calendar days of the date of the letter from the Doctoral College.

## **18. Notification of Withdrawal of Registration**

- 18.1 A student may find that, for a variety of reasons, such as ill-health, change of employment or financial problems, they are not able to continue with their programme and that it is necessary to seek formally to withdraw registration. In exceptional cases, supervisors may consider it advisable to seek the termination of a student's registration.
- 18.2 A student can request withdrawal from the programme at any time. The Panel will not consider retrospective withdrawals.
- 18.3 The Withdrawal Request form will need to be completed on the PGR records management system. In most cases, the form is completed by the student, indicating, from the list of possibilities provided on the form, the main reason for wishing to withdraw. If the student is unavailable to complete the form, the first supervisor may do so, giving the reasons for the student's unavailability.
- 18.4 The student will be subject to an exit interview which will normally be carried out by the first supervisor. The Doctoral College will ensure that relevant departments within the University are informed so that an adjustment can be made to the fees, where relevant.
- 18.5 Pending formal withdrawal from the programme, the student will continue to be charged fees.

- 18.6 A withdrawal application will not be accepted in the instance where a student is suspected of committing an Academic Offence. In such circumstances the University shall proceed as outlined in Chapter 4 of the General Student Regulations.

## **19. Variations from the Standard Research Programme**

- 19.1 The following variations from the standard research programme are permissible provided that the approval of the Research Degrees Committee Faculty Review Panel is obtained at First Project Review.

### **Exhibition, Performance, Creative Writing or Similar Work**

- 19.2 A student may undertake a programme of research in which the student's exhibition, performance, creative writing or other similar work, forms as a point of origin or reference, a significant part of the intellectual enquiry. Such work may be in any field but must have been undertaken as part of the registered research programme. In such cases, the presentation or submission of work relating to exhibition, performance or other creative writing or similar work must be supported by documentation in the form of a thesis which sets the work in its relevant theoretical, historical, critical and/or design context. The thesis must itself conform to the usual scholarly requirements and be of the correct length as defined in Regulation 22.5.
- 19.3 The final electronic copy of the submission must be accompanied by some permanent record (for instance, computer disk, video, photographic record, musical score, choreographic notation, diagrammatic representation) of the exhibition, performance or other creative work where practicable, and this shall be submitted at the same time and be included within the electronic version of the thesis.

### **Concurrent Publication**

- 19.4 In the case of PhD by Concurrent Publication the following criteria apply:
- 19.4.1 The intention to present a thesis via this route will be confirmed at the time of the First Project Review. The Faculty Review Panel may decline thesis submission via this route and in such cases the student will be required to complete the thesis through the conventional route. Subsequent alteration to the intended submission route must be made with the permission of the supervisors, Faculty Head of Research Students or equivalent role and the APVC Research. Requests to revert to a conventional dissertation submission route will not normally be considered after two years of full-time or four years of part-time study have elapsed. A request to move from a conventional PhD dissertation to PhD by Concurrent Publication will be similarly considered.
- 19.4.2 Candidates will follow a supervised programme of research. When pursuing this route, the candidate will write up the results of their research during the period of registration, resulting in a body of no fewer than three papers accepted by, or in a format suitable for submission to, an appropriate journal or equivalent academic

publication. In this route it is expected that the papers represent an interconnected approach to the study's core research question(s). If the outcome of probation review is that the candidate will transfer to MPhil, the conventional dissertation route should be followed.

- 19.4.3 The papers comprising the thesis must be presented in the form in which they were published or, if not yet published, the final form submitted for publication. It is understood that the formatting conventions of specific journals will be retained in papers included in the thesis. A single formatting style is not required for the papers that comprise the thesis.
- 19.4.4 The candidate must be the person primarily responsible for producing the first draft of all the papers included in the thesis, and must be responsible for at least 75% of the final content of each paper included. The candidate is therefore considered the 'lead' author in terms of contribution (though not necessarily in terms of the order in which names appear on the paper).
- 19.4.5 In the case of co-authored papers, the candidate must include a statement clearly identifying those elements of the work in which they were not directly involved. The statement should be supported by the supervisors' written confirmation.
- 19.4.6 For each paper included in the thesis, all co-authors must sign a statement confirming that the candidate was responsible for at least 75% of the content and was primarily responsible for the first draft of each paper. The statement(s) shall be included in the thesis. Without the inclusion of this statement in the submitted thesis, the work shall not be eligible for examination. Students and supervisors should therefore be aware of this requirement at every stage in the research process and take steps to ensure that the requirement is met in a timely fashion.
- 19.4.7 Submissions should demonstrate the requirements for the award of PhD, as set out in section 1.5. In addition to the papers presented in published or publishable form, the candidate will include a supporting critical and theoretical narrative of no more than 20,000 words articulating the originality, coherence and methodological validity of the work, which should include:
  - 19.4.7.1 A description of the overall aims of the study and a critically focused background to the work in the context of the relevant literature;
  - 19.4.7.2 A description of the research method(s) employed;
  - 19.4.7.3 Discussion of the overall findings in relation to the original contribution(s) to knowledge made by the work and a conclusion. Candidates and supervisors should understand that, since the thesis comprises papers in a form suitable for journal publication with a separate critical and theoretical narrative, submissions made by this route are distinct from those in which chapters may comprise material initially published as journal or conference papers subsequently reworked into a conventional thesis format.

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

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

19.4.10 The entire submission will be a continuous volume.

### **Submission of Theses in Foreign Languages**

19.5 Except where the Faculty Head of Research Students or equivalent role and APVC Research has allowed otherwise, the thesis must be presented and defended in the English language. The procedure for making an exception to the norm is as follows:

19.5.1 the case must be made and accepted by the Faculty Head of Research Students or equivalent role and APVC Research before first project review so that the student and the supervisors are clear from the outset of the language(s) in which the thesis is to be written and the oral examination is to be conducted;

19.5.2 the case must be fully supported by the first supervisor;

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

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

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

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

## Submission of PhD by Published Works

- 19.8 A member of staff may be permitted by the Research Degrees Committee Faculty Review Panel, to present published work for examination, provided that he/she is able to fulfil the following:
- 19.8.1 demonstrate a thorough knowledge of the relevant literature;
  - 19.8.2 demonstrate a sufficient original contribution to the literature;
  - 19.8.3 demonstrate a sustained research effort in the work represented by the publications;
  - 19.8.4 satisfy the conditions of Regulation 1.5 in that the submitted work should:
    - 19.8.4.1 represent a substantial, continuous and coherent body of work on a particular theme; and
    - 19.8.4.2 demonstrate critical investigation and evaluation of the topic of research; and
    - 19.8.4.3 constitute an independent and original contribution to knowledge; and
    - 19.8.4.4 demonstrate the student's ability to undertake further research without supervision.
  - 19.8.5 the applicant is either a permanent member of staff or on a fixed term contract of at least three years duration and is either full-time or pro-rata normally of at least 0.5 full-time equivalent. The applicant must have been a member of staff for not less than two years at the time of registration;
  - 19.8.6 a student registered for PhD by Published Works must submit their First Project Review form at the time of the application process and this will be reviewed within the Faculty by the Faculty Head of Research Students or equivalent role, at least one other academic researcher with appropriate expertise appointed by the Faculty Head of Research Students or equivalent role and by the APVC Research. The application shall only be accepted if the First Project Review form is approved;
  - 19.8.7 the student must provide a declaration at the time of First Project Review that none of the material to be submitted has been used previously as part of a submission for an academic award, whether successful or otherwise;
  - 19.8.8 students registered for a PhD by Published Works are exempt from completing the Development Needs Analysis and all elements of the Researcher Development Programme but can attend any elements of this programme;
  - 19.8.9 the student's submission for PhD by Published Works shall include the publications presented, which shall be:
    - 19.8.9.1 material of a suitable quality to be acceptable by the University for REF

- submission; and
- 19.8.9.2 substantial and sufficient to demonstrate an advancement of knowledge
- 19.8.10 the student's submission for PhD by Published Works shall also include exposition and analysis, of approximately 10,000 words, of the work contained in the publications. The exposition document is regarded as central in enabling the student to demonstrate achievement in relation to the following criteria:
- 19.8.10.1 it shall identify the main problems or issues under discussion; and
- 19.8.10.2 it shall indicate the direction and thematic consistency of the publication(s); and
- 19.8.10.3 it shall provide an authoritative critique of the work; and
- 19.8.10.4 it shall locate the work in the context of the relevant literature; and
- 19.8.10.5 describe and assess the original contribution represented by the publications submitted;
- 19.8.10.6 in the case of conjoint publications, detail the extent and scope of the student's contribution in relation to the other authors. In the case of conjoint work, the contribution of a student will be rigorously scrutinised, particularly in the oral examination;
- 19.8.10.7 indicate a sustained contribution in a coherent field of research
- 19.8.10.8 the criteria for assessing a student in this situation are the same as for a student submitting a conventional thesis under the Research Degree Regulations.

### **Submission of PhD through Extended Professional Practice**

- 19.9 This route is available to professionals or practitioners with substantial professional experience at a senior level and who have a demonstrable portfolio of achievements that have had considerable impact on their profession, on practice or on knowledge, which would, itself, be worthy of a doctoral degree (determined at the application phase). The award would be primarily concerned with the individual contextualising and critiquing their own contributions and deriving further learning from the knowledge outcomes they have achieved within their professional practice. The PhD award through this route offers the professional equivalent to a Practice-Based PhD, focussing on the candidate's quality of critique of outcomes which have emerged from their professional practice in a research context. The focus is situated within the professional working environment and places the candidate at the centre of the enquiry
- 19.10 The application should be based on an extended portfolio of evidence to show how the candidate has contributed new knowledge to their field, how this has been over and above that to be expected from routine employment at this level and how the candidate has made

that contribution a personal contribution, given that many professionals will not work in isolation.

19.11 The application for First Project Review must set out the form of the student's intended submission and of the proposed methods of assessment.

19.12 The submission and examination of the thesis will be of a thesis which sets the work in its relevant theoretical, historical, cultural and critical context and contextualises and critiques their own contributions, deriving further learning from the knowledge outcomes they have achieved within their professional practice. The thesis must itself conform to the usual scholarly requirements and be of the correct length as defined in Regulation 22.

19.13 For the award to be granted, conditions of Regulation 1.5 must be satisfied.

19.14 The final electronic copy of the submission must be accompanied by some permanent record (for instance, computer disk or USB) of the portfolio of evidence where practicable, this shall be submitted at the same time as the final thesis.

## **20. Monitoring of Research Student Progress and Feedback**

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

20.2 Full-time students registered for the award of PhD will not be required to have an annual review in year one, and part-time students will not be required to have an annual review panel meeting in year two. In both these cases the ProbationReview process will replace the annual review.

20.3 If a student receives a viva voce outcome of 25.2.4 and is permitted to re-submit for the degree sought, the student is required to resume participation in the annual review process, which the first supervisor will arrange.

20.4 The annual review shall also include consideration of:

20.4.1 the student's progress with the Researcher Development Programme, as informed by the initial Development Needs Analysis;

20.4.2 any necessary change in the Development Needs Analysis consequent on the progress of the project;

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

- 20.6 The 'Progress Report' form outlined in 10.5 to 10.10 provide an additional means by which progress can be monitored and should be used to determine whether actions agreed by supervisor(s) and the student are satisfactorily carried out.
- 20.7 If a student feels that the project is not proceeding satisfactorily for reasons outside his/her control, or that he/she does not have an effective working relationship with the supervisor(s), he/she could feel it is inappropriate or undesirable to wait for the annual monitoring process. In this case, the student is advised to contact the Doctoral College for guidance. It would normally be expected that the student discusses the matter with the First Supervisor (if possible). Failing this, he/she should approach the relevant Faculty Head of Research Students or equivalent role. Should the matter still not be resolved, he/she should report his/her concerns to the Chair of Research Degrees Committee to make a final decision.

## **21. Submission of Thesis and Any Other Work**

- 21.1 The thesis must be presented in accordance with the requirements of Regulation 22.
- 21.2 It is the responsibility of the student to ensure that the thesis and/or any other work is submitted to the Doctoral College within the maximum period permitted to the student under Regulation 12.1.
- 21.3 The thesis must be the result of the student's own work. The requirement does not preclude a student obtaining limited assistance with proof reading. When such help is obtained it must be with the prior approval of the supervisor who must be satisfied that the spirit of the 'own work' requirement is not breached.
- 21.4 If a student employed a professional proof-reader for their research thesis the following definition applies:
- 21.4.1 The role of a proof-reader of a thesis is to ensure that the meaning of the text is not misrepresented due to the quality and standard of the English used. A proof-reader must not:
    - 21.4.1.1 change the text of the thesis to clarify or develop an argument;
    - 21.4.1.2 reduce the length of the thesis;
    - 21.4.1.3 assist with academic referencing;
    - 21.4.1.4 correct factual information;
    - 21.4.1.5 or translate the thesis into English.
  - 21.4.2 A proof-reader may correct spelling, grammar and punctuation accuracy.
  - 21.4.3 If a student obtains the assistance of a proof-reader for the thesis, a statement must be included in the thesis declaring editorial assistance was used.

- 21.5 Students must submit the examinable thesis in electronic format. If the examiners request hard copies, it is the student's responsibility to provide these.
- 21.6 The student must submit an electronic copy of the thesis for analysis using Turnitin according to the procedure defined by the Doctoral College.
- 21.7 The submission of the thesis shall be accompanied by the submission of the Student Declaration Form in the PGR records management system, which covers the originality of the work and its compliance with the requirements regarding registration. The form confirms that:
- 21.7.1 the work was solely conducted during the registration for the award with the University, under University supervision; *or* the nature and extent of any exceptions must be specified;
  - 21.7.2 no material used in the thesis was used in any other submission; *or* indicate nature and extent of any material which forms part of the submission elsewhere;
  - 21.7.3 the work re-presented in the submission was undertaken solely by the student, except as described under Regulation 2.12.
- 21.8 It is the right of the student to submit their thesis for examination against the advice of their supervisory team. The APVC Research will be notified when a student submits against the advice of their supervisory team.
- 21.9 The Doctoral College will send copies of the thesis and the pre-viva form to the Examiners along with other relevant documentation. The First Supervisor will be informed when this has taken place.
- 21.10 No student shall attempt to contact examiners or potential examiners concerning the examination or concerning any matter which could affect the examination.
- 21.11 Post Viva students and supervisors need to ensure independence from the Examiners. Students and supervisors wishing to communicate or seek points of clarity from the examiners will need to do so via the Doctoral College.
- 21.12 After successful completion of all stages of the examination, an electronic copy of the final version of the thesis must be submitted to the Doctoral College in partial fulfilment of the conferment requirements and this shall adhere to all the requirements of Regulation 22.6.
- 21.13 A student must include in the submission the text of any published work produced as part of the programme of work, of which he/she is the author, provided that:
- 21.13.1 the work is relevant to the submission; and
  - 21.13.2 the text contains details of the publication.

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

## **22. Presentation of Thesis**

- 22.1 The presentation of a research degree thesis may be made by one of the following routes:
- 22.1.1 a conventional dissertation, comprising individual chapters that are not in a previously published form;
  - 22.1.2 papers of publishable standard accompanied by a critical and theoretical narrative, as further defined in Regulation 19.4 as PhD by Concurrent Publication;
  - 22.1.3 a substantial body of original creative work, appropriately presented or evidenced, together with a written thesis contextualising the work within an academic framework (as practice-based research);
  - 22.1.4 a collection of published works demonstrating a significant and original contribution to research as described in Regulation 19.8 as PhD by Published Works.
- 22.2 The thesis must include a statement of the student's objectives and must acknowledge published or other sources of material consulted (including an appropriate bibliography and/or list of references, in an academically recognised format) and any assistance received. There must be an abstract (of approximately 300 words) within the thesis which provides a synopsis of the thesis stating the nature and scope of the work undertaken and of the contribution made to the knowledge of the subject treated.
- 22.3 With the exception of PhD by Published Works material produced during the PhD, DBA or MPhil and already published shall be referred to explicitly in the thesis. If desired, copies of the published material can be included with the thesis or attached in some appropriate way. For PhD by Published works Regulation 19.4.9 applies. For the PhD by Concurrent Publication, any material published but not included in the examinable thesis shall also be explicitly referred to as above.
- 22.4 Theses must normally be submitted in A4 format. The Research Degrees Committee may give permission for a thesis to be submitted in another format where it is satisfied that the contents of the thesis can be better expressed in that format.
- 22.5 The text of the thesis should not normally exceed the following length (excluding ancillary data):

PhD  
Practice Based Research

40,000 words

Non-Practice Based Research	80,000 words
<u>PhD by Concurrent Publication</u>	
Minimum three journal papers Critical and theoretical narrative	Variable according to discipline 20,000 words
<u>MPhil</u>	
Practice Based Research	20,000 words
Non-Practice Based Research	40,000 words
<u>MA/MSc by Research</u>	
Practice Based Research	20,000 words
Non-Practice Based Research	30,000 words
<u>PhD by Published Works</u>	
Practice Based Research	10,000 words
Non-Practice Based Research	20,000 words
<u>DBA</u>	
	55,000 words
<u>PhD through Extended Professional Practice</u>	40,000 words

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

22.6.1 Students must submit the examinable thesis in electronic format.

22.6.2 the cover page shall bear the title of the work in at least 24pt type. The name and initials of the student, the qualification and the year of submission shall also be shown on the front board;

22.6.3 the recommended standard for page margins is as follows:

Left Margin: 4cm Right Margin: 2cm

Top Margin: 2cm Bottom Margin: 4cm

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

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

22.6.6 the title page shall give the following information:

22.6.6.1 the full title of the thesis; this must be the title approved when examination arrangements were made unless subsequently approved by the APVCR and the Faculty Head of Research Students or equivalent role;

- 22.6.6.2 the full name of the author;
  - 22.6.6.3 the award for which the thesis is submitted in partial fulfilment of its requirements;
  - 22.6.6.4 that the degree is awarded by De Montfort University;
  - 22.6.6.5 sponsor of research where appropriate and Collaborating Establishment, if any;
  - 22.6.6.6 the month and year of submission;
  - 22.6.6.7 the number of volumes, if more than one.
- 22.6.7 The final thesis is required to be submitted electronically.
- 22.6.8 Submissions for PhD by the concurrent publication route should follow the above guidance for the title page and the critical and theoretical narrative element. A contents section should provide a fully referenced list of papers included in the submission (including Digital Object Identifier (DOI) where relevant). A single formatting style is not required for the papers that comprise the thesis.
- 22.6.9 The electronic copy of the thesis will be submitted to the Institutional Repository in the University Library.
- 22.7 Where the University has agreed that the confidential nature of the student's work is such as to preclude the thesis being made freely available in the library of the University or sponsoring establishment for an agreed period as identified on the First Project Review form (and collaborating establishment, if any) then the electronic thesis shall, immediately on the completion of the programme of work, be held confidentially within the institution. After this period the thesis will be kept in the Institutional Repository in the University Library.

## **23. Selection and Appointment of Examiners and Examiners' Duties**

- 23.1 Students for research degrees are examined on the basis of the submitted thesis and through the defence of the thesis in an oral examination (viva voce) by the external and internal examiners. The examiners are appointed for that purpose by the Faculty Head of Research Students or equivalent role and the APVC Research on the nomination of the Supervision team. There shall be at least one external examiner, one internal examiner and an independent chair who has no previous involvement with the research project or the student. For members of academic staff, please refer to regulation 23.5. An external examiner shall be external to and independent of the University and of a

- Collaborating Establishment. An internal examiner shall be a member of the staff of the University, which can in exceptional cases include members with emeritus status.
- 23.2 Any one external examiner should not be appointed with such frequency that familiarity with the University's research environment could influence, or appear to influence, their objectivity in the examination process. As a guide, an external examiner should not be appointed more than three times within any five-year period.
- 23.3 If an examiner is nominated who has not previously served as a research degree examiner at the University, it is necessary for a copy of his/her curriculum vitae to be submitted with the application.
- 23.4 An application for approval of examination arrangements must be submitted **at least 3 months** prior to the submission of the examinable thesis. The process will be triggered at the latest when the student submits an Intension to Submit form to the Doctoral College, 3 months before the students planned submission date.
- 23.5 A person who is appointed as a student's supervisor cannot be appointed as an examiner of that student.
- 23.6 If the student is a member of academic staff of the University at the time of examination, it is a requirement that two External Examiners and an independent chair are nominated. This shall apply to all staff on permanent academic or professional services contracts, whether full time or part time. Staff on fixed term or hourly paid contracts may be exempt from this requirement but, in such cases, where the staff member is working in a close collegial relationship with permanent staff (for example as a research and/or teaching fellow) the requirement for two examiners will normally be applied, subject to consideration by the Faculty Head of Research Students or equivalent role and the APVCR.
- 23.7 Research students who engage in no more than 6 hours per week of teaching during their research studies do not fall within the scope of this regulation.
- 23.8 Where the student is registered for a PhD by Published Works two external examiners and at least one internal examiner shall be appointed. This regulation shall apply to all students regardless of his/her status at the time of examination.
- 23.9 In appointing examiners the Faculty Head of Research Students or equivalent role and the APVC Research must ensure that the following criteria are met:
- 23.9.1 Normally, the examining team for a research degree consists of:
- 23.9.1.1 an External Examiner, who is external to and independent of the university or the collaborating establishment, and
- 23.9.1.2 an Internal Examiner, who is a member of staff of the university.
- 23.9.2 As a whole, the examining team must have:

- 23.9.2.1 substantial experience in examining research degree students at the level of the degree in question; and
  - 23.9.2.2 substantial knowledge of current research relating to the subject area of the submission.
- 23.9.3 for PhD examinations, at least one examiner shall normally possess a PhD or equivalent qualification;
- 23.9.4 In order to meet these criteria, additional examiners may be appointed as necessary;
- 23.9.5 No person who is registered as a student for a research degree at this University or elsewhere may act as an examiner;
- 23.9.6 All examiners shall be independent of the student and the student's work. No examiner shall have provided any formal guidance in respect of the context or structure of the thesis, thesis project or other submitted work. External examiners must evidence their eligibility to work in the United Kingdom to the Doctoral College;
- 23.9.7 Former members of the staff of the University are not normally eligible for appointment as external examiners until three years after the termination of his/her employment.

### Nomination of Internal Examiners

- 23.10 Subject expertise is the paramount consideration in the appointment of examiners for research degrees, and proposals for examination arrangements will normally identify only one internal examiner. Where an appropriate internal examiner is identified, the following requirements apply:
- 23.10.1 The internal examiner must have previously examined or observed a minimum of two research degrees, at least at the level to be examined, and 'self-certified' their experience with the Doctoral College.
  - 23.10.2 In the case of PhD students who have undertaken probation review, the Internal Assessors may be nominated to be the internal examiner for the final examination, provided they have not substantively provided feedback to the candidate beyond the probation review.
- 23.11 In all cases, internal examiners must have obtained the Certificate in Research Supervision.
- 23.12 When **two** Internal Examiners are proposed, the experience of one must be certified and

additionally must, for PhD examinations, have examined at least two at the level of the award. A case must be made giving the reasons for the nomination of a second Internal Examiner, which normally would be relevant where two internal examiners are required to interrogate different aspects of a multidisciplinary thesis.

- 23.13 If a student is in agreement, a member of staff inexperienced in examining may attend their viva as an observer in order to meet a staff development need. The student's agreement to this will be confirmed by supervisors prior to the submission of the examination arrangements form and recorded by the Doctoral College.
- 23.14 The internal observer is present solely to gain experience and will not submit any post-viva report. A thesis is not required for the observer, only the examiners. The Doctoral College will email a copy of the thesis (at the request of the first supervisor) to the observer prior to the date of viva. The observer will not communicate a view on the thesis to the student or to the examiners at any point prior to the final corrected or revised submission and the observer will not communicate any of the deliberations of the examiners to the student at any time. Where two internal examiners are already appointed, an observer may not be included in the examination process.
- 23.15 The 'observing' member of staff will not act as a full member of the examining team but will meet with the internal examiner at the point of completing the pre-viva report in order to understand the purpose the report and the types of issues that would normally be recorded on it. The observer will attend the examiners' pre-viva meeting in order to witness the process by which examination questions are formed, and will then be present for the whole of the viva examination as well as the examiners' discussion of the outcome.
- 23.16 Since the role is that of an observer not formally part of the examination team, during the viva the observer should sit outside of the student's line of vision so that the student is not distracted in any way, and the observer must not take any active part in the questioning. The observer may take procedural notes but should not take notes relating to the content of the student's work or to the outcome of the examination. At the conclusion of the viva the observer will remain to witness the discussion between examiners as to their recommended outcome, but must not play any part in this discussion. At the conclusion of the examination process the observer may then discuss the whole process with the examiners.
- 23.17 A Chair appointed at a research degree examination should be an experienced academic, who:
- 23.17.1 Has met the University's requirements for an experienced internal examiner;
  - 23.17.2 In the opinion of the Faculty Head of Research Students or equivalent role and the APVC Research, has sufficient background and experience in the administration and examination of research to deal confidently with any queries or issues arising during the examination process;
  - 23.17.3 Has not had a role in the candidate's supervision or acted as their probation review assessor.

- 23.18 The Chair must ensure they have familiarity with The University's Research Degrees and Higher Doctorate Regulations.
- 23.19 The Chair's primary roles are to:
- 23.19.1 Ensure that the conduct of the examination is academically rigorous, fair and consistent with the University's procedures and guidance;
  - 23.19.2 Ensure that adequate opportunity is given to the candidate to defend their thesis and to respond to examiners' questions;
  - 23.19.3 Provide examiners and/or the candidate with advice on the research degree regulations should queries arise in the examination process;
  - 23.19.4 Confirm with examiners that Turnitin reports have been fully evaluated, and
  - 23.19.5 Support a new internal examiner in carrying out their duties (including review of the Turnitin report).
- 23.20 The Chair is not expected to read the thesis, and will not take an active role in examining the student on their submission nor will they have a role in determining the outcome of the examination. The Chair should be present for the pre-examination discussion between examiners, introduce all those present at the start of the examination and remain for the entire viva voce, the examiners' post-viva deliberations and the subsequent unofficial relay of the outcome to the student. Where the outcome of the examination requires the candidate to undergo a second oral examination, the independent Chair should be in attendance on the same terms as above. Should the Chair no longer be employed by the University, another suitably qualified member of the academic staff will be appointed in their place.
- 23.21 Additional responsibilities of the Chair:
- 23.21.1 To clarify for the student the meanings and implications of the examiners' decision on the outcome of the examination.
  - 23.21.2 Where there is disagreement between examiners about the outcome of the examination or the nature of any revisions or corrections required, the Chair will assist examiners in reaching an agreed position. In such cases the Chair's role is restricted to providing examiners with advice on their options, and has no casting vote. Where an agreed position cannot be reached with the Chair's assistance, Regulation 26 shall apply.
  - 23.21.3 To be available to comment or provide relevant evidence in relation to a student's appeal against an examination outcome.
- 23.22 The duties of examiners shall be as follows:
- 23.22.1 all examiners are required to complete an independent pre-viva form and

submit to the Doctoral College **at least five days prior to the date of examination;**

- 23.22.2 the examiners are required to hold an oral examination known as the viva voce, except in the most exceptional of circumstances, see Regulation 24.4;
  - 23.22.3 the examiners are required to submit an Examiners Report form and recommendation on the appropriate form, unless they are in disagreement in which case separate report forms must be submitted (see Regulation 26). Also to assess material subsequent to the viva voce where appropriate;
  - 23.22.4 examiners are expected to complete the examining process within eight weeks of receiving the thesis. Subject to availability, resubmissions are expected to be reviewed/examined within 4 weeks of receiving the revised thesis. If this cannot be achieved, a report outlining reasons for delay must be submitted to the Doctoral College.
- 23.23 The internal examiner has particular responsibilities to ensure that:
- 23.23.1 An agreed recommended outcome of the examination process is stipulated (as in Regulation 25.2), paying particular attention to noting the examiners' agreement as to whether a second viva examination is required.
  - 23.23.2 A coherent joint summative report on the thesis is completed following the examination. This should include an overall evaluation of the thesis with the examiners' view of its strengths and weaknesses. Where major revisions are required the report should clearly set out the list of amendments. The amendments should be as unambiguous as possible with sufficient detail to allow the student to respond to the examiners' requirements. These requirements may be verbally summarised for the candidate following the viva, but should not be regarded as official notification of the result of the examination (see Regulation 24.15).
  - 23.23.3 Where experienced and inexperienced internal examiners are working together it is responsibility of the experienced internal examiner to ensure the coherence of the report. Note that specific processes apply in situations where there is disagreement amongst examiners as to the outcome of examination (See Regulation 26).
  - 23.23.4 The Turnitin similarity report on the thesis is evaluated in consultation with the external examiner(s) and any additional internal examiner. This should be completed as soon as practicable after receipt of the thesis. Instructions for accessing the Turnitin report and its interpretation are provided by the Doctoral College. A short report giving the rationale for approval or non-approval of the thesis should then be recorded in the PGR records management system. If, in the view of the internal examiner, the Turnitin report is indicative of bad academic practice it should be referred to the Faculty Head of Research Students or equivalent role and the APVC Research before the external examiner is contacted. The Faculty Head of Research Students or equivalent

role will then follow the relevant steps in the University's General Regulations affecting Students as they apply to research degree candidates (see also Regulation 32).

## **24. Oral Examination (Viva Voce)**

- 24.1 When the Faculty Head of Research Students or equivalent role and the APVC Research has approved the examination arrangements, the examiners will be notified of their appointments. The student's first supervisor will receive copies of the correspondence.
- 24.2 Examiners will be made aware that if they annotate the thesis the student may get to see such comments.
- 24.3 It is the responsibility of the Doctoral College to make the specific arrangements for the examination, including the date, time, location and hospitality.
- 24.4 All students are examined orally in English, (except when submitting under Regulation 19.5), on the programme of work and on the field of study. However, in cases of sickness, disability or comparable valid cause, an alternative form of examination may be approved. Such cases require the approval of the APVC Research on the recommendation of the examiners and/or supervision team.
- 24.5 The purposes of an oral examination are:
  - 24.5.1 to establish that the submitted work is that of the student;
  - 24.5.2 to give the student the opportunity to defend the direction, structure and conclusions of the work. This involves the examiners making constructive criticisms of both the research and the thesis and giving the student the opportunity to respond;
  - 24.5.3 to explore with the student any particular issues in the thesis or submitted work which require clarification or development. This is particularly important in cases where the examiners feel that their final decision could be other than an unconditional pass;
  - 24.5.4 to test the student's personal eligibility for the award of the degree by exploring his/her understanding of issues arising in and from the research and of the relationship of the research to the wider field of knowledge. In the case of a PhD student, the student should be able to demonstrate his/her understanding of the nature and extent of the original contribution to knowledge entailed in the research.
- 24.6 One of the student's supervisors may attend the oral examination, unless the student has expressed a wish to the contrary. Attendance by a supervisor is not compulsory but if the student feels that this would be helpful, the University then expects the supervisor to be at the oral examination.

- 24.7 Oral examinations can take place with the student and the examination team present at the same location. Alternatively, the examination may be conducted online enabling either the student and/or members of the examination team to participate in the examination in separate locations. Online examinations can only take place once students have signed the video conferencing policy document.
- 24.8 The recording of the proceedings of the oral examination, by any method, is normally prohibited.
- 24.9 The oral examination should **normally** last between two and three hours. The pattern for each particular oral is for the examiners to determine but in most cases the examiners will wish to focus on a detailed consideration of the research, its methodology and its findings. In some cases, however, the examiners could wish to focus on a discussion of broader aspects of the research process or findings, or the implications for policy/research, or publication possibilities. For this, the student could be invited to highlight aspects or issues that appear most important or interesting.
- 24.10 Supervisors of students who are undertaking their research degree by Exhibition, Performance or similar work must arrange **prior** to the oral for the full examination team to have sight of the work. This may be in the form of a performance to which the examination team are invited or could be a private showing of the work set up for this purpose. This showing can take place well in advance or on the day of the viva voce. The student must ensure the final submission is accompanied by some permanent record (for instance, USB stick, video, photographic record, musical score, choreographic notation, diagrammatic representation) of the exhibition, performance or other creative work where practicable, and with the electronic copy of the thesis. In addition, it is expected that normally the textual component of the submission sent to examiners should be accompanied by documentary evidence in photographic/video form of the creative work undertaken.
- 24.11 The intention is that oral examinations should be constructive and stimulating for all participants. The students should expect to be challenged on their ideas, but should be assured that the experience is intended to be helpful and positive. In preparation, students are advised to re-familiarise themselves with their thesis, make their own assessment of its strengths and weaknesses, and try to anticipate issues that are likely to be raised. The student must bring a copy of his/her thesis with them to the oral examination.
- 24.12 At the conclusion of the viva examination, the examiners might indicate to the student the recommended outcome they will be putting forward, subject to any corrections required. Formal notification of the results of the candidature will come from the Doctoral College on behalf of the APVC Research.

## 25. Examination Outcomes

- 25.1 Unless operating under Regulation 26, a copy of the final joint report shall be issued to the student. In the case of 25.2.2, 25.2.3 and 25.2.4 below the student will be given a written statement of the work to be done to achieve his/her degree within an agreed timescale. The criteria for assessing the degree of MA/MSc by Research/MPhil shall be in accordance with Regulation 1.2 and those for PhD shall be in accordance with Regulation 1.5.
- 25.2 The final report of the examiners on the student shall recommend one of the following:
- 25.2.1 the student be awarded the degree sought;
  - 25.2.2 the student be awarded the degree sought, provided that minor amendments and corrections in the submitted work are made to the satisfaction of the nominated examiner(s) within a specified period not exceeding three months from the notification of the result to the student;
  - 25.2.3 the student be awarded the degree sought, provided that major amendments and corrections in the submitted work are made to the satisfaction of the nominated examiner(s) within a specified period not exceeding six months from the notification of the result to the student. Major corrections can be approved by the internal examiner(s);
  - 25.2.4 the student be permitted to re-submit for the degree sought and be re-examined. In this case the examiners shall specify the maximum period open to the student to re-submit, which shall not to exceed 12 months. The maximum period shall date from the notification of the result to the student:
    - 25.2.4.1 the thesis is to be revised and if deemed satisfactory by the Examiners, the student will be exempt from further examination, oral or otherwise; or
    - 25.2.4.2 the thesis is to be revised and the student must undergo a further oral or alternative examination; or
    - 25.2.4.3 the thesis is satisfactory, but the student must undergo a further oral examination or other such examination as the examiners shall specify.
  - 25.2.5 if the student was working towards the award of a PhD, the student should be awarded the MPhil, if appropriate, subject to minor corrections, on the basis stated in 25.2.2. Examiners must only make this recommendation for positive achievement by the student in accordance with regulation 1.2; or
  - 25.2.6 the student should not be awarded any degree and should be given no further opportunity of examination.

- 25.2.7 Examiners may only recommend 25.2.1(award), 25.2.6 (award lower award – no further amendments) and 25.2.7 (no award) if they are examining a student who is already re-presenting unless the re-presentation is the outcome of an appeal
- 25.3 Where examiners require revision of a thesis careful consideration should be given as to whether the candidate should undergo further oral (or other) examination. In any event, the decision made by the examiners in respect of the below will be adhered to. Any requirement for, or waiver of, further oral or other examination specified shall be binding. Practical tests of the distinction are:
- 25.3.1 Whether carrying out the revisions requires significant new work (such as the gathering of new or additional data and/or any new analysis) that may affect the results and conclusions of the study, such that oral defence of therevised thesis and its findings is likely to be necessary;
- 25.3.2 Whether the candidate’s knowledge of research methods and the field of study in general require a level of professional development that can only be evaluated by further oral examination;
- 25.3.3 Otherwise, where the examiners are of the view that the specific requirements of the viva voce examination (Regulation 24.5) have fallen short of an acceptable standard;
- 25.4 Examiners for Doctor of Business Administration may not select outcome 25.2.
- 25.5 Where examiners recommend in terms set out in Regulations 25.2.2, 25.2.3 or 25.2.4 they must compile a list of corrections as soon as possible and definitely within 5 working days of the oral examination (excluding grammatical and typographical errors, which may be advised to the student separately).
- 25.6 Where the examiner recommends that a student should not be awarded the degree sought as set out in 25.2.6 above, and should have no further opportunity of examination, the examination team must complete the 'Statement of Reasons for Failure' on the Examiners Report Form. If the student appeals against the outcome they will be provided with a copy of this statement, it should therefore be as practicable whilst safeguarding the confidentiality of the examining process.
- 25.7 Where the examination team are recommending that the student should be awarded the degree sought ‘subject to minor amendments and corrections’ we would ask that they consider an appropriate length of time. In some circumstances three months might be too long, and examiners are encouraged to specify a shorter time in these instances.
- 25.8 Before forwarding a recommendation for the award of a degree to the Doctoral College the examiners must be satisfied that the format of thesis is in accordance with the University’s regulations (see Regulation 22).
- 25.9 Examiners should be aware of the distinction between the decision to pass a student subject to correction of minor or major amendments and the decision not to award a

degree to a student but to permit the student to revise and re-present the thesis. The following aim to clarify the distinctions:

- 25.9.1 one factor, among many others, in assessing a thesis is to judge whether it demonstrates satisfactorily the student's ability to produce a substantial and coherently argued report on the research. Ultimately, a successful thesis is one which is judged worthy to be lodged for public access in the Library. Nonetheless, it is not immediately clear in every case when a thesis is unsatisfactory which of the recommendations summarised above is appropriate. These guidelines are intended to aid examiners in coming to an appropriate decision in such cases;
- 25.9.2 it should be borne in mind that there is a substantive difference between recommending the award subject to correction of the thesis, and not recommending the award but permitting the student to revise and re-present the thesis;
- 25.9.3 a practical yardstick is whether the external examiner wishes to see the thesis again in order to check matters of substance. If he or she does so wish then the decision should be not to award the degree but to permit the student to revise and re-present.
- 25.9.4 If the external examiner believes the thesis can be brought to an acceptable standard and does not need his or her further inspection then it can be recommended that the student be awarded the degree subject to minor or major amendments. The basis for this distinction is that a student who has been permitted to revise and re-present has to have his/her thesis re-examined formally in its entirety, while a corrected thesis simply has the corrections checked by the examiner(s);
- 25.9.5 Minor amendments 25.2.2 are changes that do not alter the arguments or conclusions of the thesis. They include corrections of editorial, typographical and grammatical errors, as well as corrections to references and minor re-writing to clarify context or interpretation.
- 25.9.6 Normally, errors of presentation can be remedied by minor amendments unless they are judged as fundamentally and comprehensively impairing the argument of the thesis, which would require substantial re-writing or re-structuring. In such a case it is advisable to recommend major amendments as the final form of the thesis would differ substantially from its original form and would need reassessing as a whole. For example, the inclusion of new data, fieldwork or practice, new analysis or substantial new additions to literature would revise and resubmit.
- 25.9.7 Examiners should be aware of the distinction between the decision to pass a student subject to minor and major corrections. The following aim to clarify the distinctions:
  - 25.9.7.1 Major amendments has the potential to merit the award of the degree

for which it has been submitted, but does not yet satisfy the requirements for award and contains deficiencies that are in excess of editorial or presentational corrections. This may involve re-writing sections, correcting calculations or clarifying arguments, but should not require the candidate to undertake any further original research.

## **26. Disagreement Amongst Examiners**

- 26.1 Where examiners fail to agree on a recommendation they shall report separately on the appropriate form to the Doctoral College. The APVC Research, in consultation with the Research Degrees Committee may:
- 26.1.1 accept the recommendation of the external examiner or, if more than one, the agreed recommendation of the external examiners; or
  - 26.1.2 appoint an additional external examiner.
  - 26.1.3 accept a majority recommendation, provided that this includes the recommendation of at least one external examiner; or
- 26.2 Where an additional external examiner is appointed, he/she shall not be informed of the recommendations of the other examiners but shall prepare an independent preliminary report on the basis of the thesis and, if he/she considers it necessary, conduct a further oral examination. On receiving the report of this additional external examiner the APVC Research in consultation with the Research Degrees Committee shall have outcomes 25.2.1, 25.2.2, 25.2.3 or 25.2.4 available.

## **27. Amendment to Theses**

- 27.1 When amendments to the thesis, as required by the examiners, have been completed, copies of the thesis should be forwarded to the Doctoral College, so that the relevant documentation can be distributed.

## **28. Examination of an Amended Thesis**

- 28.1 Copies of an amended thesis are sent to the Examiners separately, who must confer in reaching a recommendation, including whether or not they wish to re-examine the student in a further oral examination when this had been previously recommended under Regulation 25.2, and submit their joint recommendation to the Doctoral College on the appropriate form. In the case of disagreement, the Examiners must submit separate recommendation forms in accordance with Regulation 26, Disagreement Amongst Examiners.
- 28.2 The decisions of the examiner(s) regarding an amended thesis submitted under Regulation 25.2.4 are normally limited to:

28.2.1 a recommendation for the award of a degree (Regulation 25.2.1)

28.2.2 a recommendation that no degree should be awarded (Regulation 25.2.6)

28.2.3 a recommendation for lower award (no corrections)

## **29. Lodging of Thesis**

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

## **30. Conferment of the Research Degree**

30.1 Following the receipt of completed examination documents and the electronic thesis, the form DMU REC will be completed by the Doctoral College and therecommendation for the award to be conferred upon Research Degree students will be forwarded to a representative of the Vice-Chancellor acting on behalf of the Academic Board and the Board of Governors. The Head of Policy, Governance and Research Student Services or representative is responsible for reviewing, checking and completing the recommendation paperwork for signature by a representative of the Vice-Chancellor.

30.2 If the regulations are adhered to a degree parchment will then be produced and normally will be sent to the student and he/she will be invited to attend a Graduation Ceremony.

## **31. Students' Rights of Appeal**

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

31.1.1 the University to terminate his/her registration

31.1.2 the examination team to recommend the examination outcome of 25.2.4 or 25.2.6.

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

## **32. Academic Offences Panel**

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

directly to supervisors and the faculty as part of your progression is recognised as a formal submission of work.

### **33. Misconduct in Research Policy**

- 33.1 The Misconduct in Research Policy investigates allegations of research misconduct at the University. The procedure covers anyone conducting research under the auspices of DMU, including research degree students. The policy and investigation procedure can be found on the University's research webpages.
- 33.2 The Guidelines for Good Research Practice provide information on the standards researchers are expected to adhere to. Additionally, the Guidelines outline the responsibilities DMU has to support best practice

### **34. Fieldwork Process**

- 34.1 Students who wish to undertake field work of 30 days or greater are required to complete a Field Work Request form through the PGR records management system prior to undertaking a Field Trip as part of their research.
  - 34.1.1 Trips of 30-60 days - First supervisor and Immigration Compliance manger (if applicable) approval required;
  - 34.1.2 Trips of 60 days or more require a Field Trip Request and Absence RequestForm to be completed and approved by First supervisor and Immigration Compliance manger (if applicable).
- 34.2 Engagement during fieldtrips will be monitored by the completion of monthly progress reports.

### **35. Doctoral Extension Scheme (DES)**

- 35.1 Students who are successful with their DES application must confirm this to the Doctoral College and provide their new visa to the Immigration Compliance team. The Immigration Compliance team will update the student record. A student who is awarded the DES is permitted to re-enter the UK at any time during the validity of the leave.
- 35.2 The University will maintain at least 3 instances of contact with the student whilst the DES visa is valid to ensure the student is adhering to the conditions of this visa. This contact will be from the Doctoral College at 3, 9 and 12 months via email, or telephone. Records of contact will be maintained by the Doctoral College. It is important that students respond promptly to all communications sent by the Doctoral College as failure to do so will oblige the University to report the matter to the Home Office.

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

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

- 1.1.1 receive and consider the application and determine whether it meets, prima facie, the criteria for examination;
- 1.1.2 appoint examiners and approve examination arrangements;
- 1.1.3 receive and consider reports and recommendations from examiners and, where appropriate, recommend the granting and conferment of a Higher Doctorate of the University

## **2. Membership**

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

## **3. Terms of Reference**

- 3.1 To receive applications from candidates for Higher Doctorate Degrees and determine whether they meet, prima facie, the criteria for consideration as detailed in 4 below.
- 3.2 To appoint examiners and approve examination arrangements in accordance with the provisions set out in these regulations.
- 3.3 To receive reports and recommendations from the examiners of registered candidates and in appropriate cases, recommend to the Vice-Chancellor (who acts on delegated authority from the Academic Board for the conferment of academic awards) the granting and conferment of Higher Doctorates of the University.

## 4. Eligibility

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

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

4.2 The award of Higher Doctorate is awarded to a candidate who is the holder of at least 7 years standing of a first degree or holder of at least 4 years standing of a masters or higher degree, who is a leading authority in the field of study concerned and has made an original sustained and substantial contribution of high distinction to the advancement or application of knowledge in that field.

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

## 5. Application

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

There must also be submitted a statement which includes:

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

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

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

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

- 5.3 On receipt of such an application the Research Degrees Committee will establish a Panel to consider the application.

## **6. Prima facie consideration by Panel**

- 6.1 The Higher Doctorate Panel, once constituted, will consider the applicant and determine whether it meets prima facie the criteria. Where in particular cases it is deemed necessary, the Panel may seek the views of appropriately qualified persons external to it to assist in reaching a decision.
- 6.2 Where applications are approved the Higher Doctorate Panel shall proceed to appoint two examiners to consider the application, one of whom may be an internal examiner, except where the applicant is a current member or employee of the University, where two external examiners shall be appointed.

## **7. Examination**

- 7.1 The examiners shall submit individual reports independently prior to discussing the award; this shall be submitted to the Secretary of Research Degrees Committee.
- 7.2 The examiners shall then submit a joint recommendation to the Secretary for consideration by the Higher Doctorate Panel.
- 7.3 Where the examiners cannot reach a joint recommendation, they should submit individual recommendations. A further external examiner shall be appointed by the Higher Doctorate Panel who shall be given access to the original reports and shall make a final recommendation.
- 7.4 There shall be no provision for application by the candidate or other person(s) for re-examination of a candidate's submission beyond the stage set out in iii) above, save that in the event of the Higher Doctorate Panel not accepting the recommendation of the examiners, a recommendation may be made by the Research Degrees Committee to the Academic Board for some other course of action. The Academic Board's decision on such matters so referred shall be final.

## **8. Fees**

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

## **9. Retention of Publications**

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

# Appendix 1

## Non-Engagement Process

### De Montfort University Kazakhstan

This appendix outlines the standard process for academic and non-academic engagement matters across all research degrees.

**Step 1** – Doctoral College informed by supervisor, IHRS or FHRS that student has failed to engage with their programme for the last 60 days which may include not attending the last 2 monthly progress meetings, failing to complete any of the reviews in line with programme expectations or local deadlines set by the supervisory team. The Doctoral College will write to the student by email and letter copying in the lead supervisor and respective FHRS giving 14 days to respond and address any outstanding requirements.

**Step 2** – Following the lapse in 14 days, should the student not have responded, the Doctoral College will write to the student copying in the lead supervisor and respective FHRS once again outlining the risks of not engaging and will act to close their registration if not responded within 7 days.

**Step 3** – Following the 7 days and no contact from the student with either the supervisory team or Doctoral College, the student will be written to confirming the closure of their registration on the research degree programme.

**Informal steps** – where engagement concerns are raised with the Doctoral College by either the lead supervisor, IHRS or FHRS, and is under 60 days the Doctoral College will still be able to support and reach out to students to address any engagement concerns as well as invoking the non-engagement procedure if deemed appropriate.