



**Bath Spa
University**

GRADUATE SCHOOL

RESEARCH DEGREE HANDBOOK (For Supervised MPhil and PhD awards) 2008/9

Any queries relating to this handbook should be directed to
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CONTENTS

Section No	Section Title	Page No
1	BSU and Research Degrees	3
2	The Graduate School	4
3	Research Degrees at BSU	4
4	Defining Research Degrees: MPhil	5
5	Defining Research Degrees: PhD	7
6	Research Degrees Involving Creative Work	9
7	Application and Admission as an Advanced Post-Graduate Student (initial registration)	10
8	Advanced Postgraduate Studies (initial registration)	13
9	BSU Graduate School, School and Supervisory Support	14
10	Application for Registration (full registration)	17
11	Progression Assessment	19
12	Monitoring of Standards and Performance	21
13	Responsibilities within the Supervisory Relationship	22
14	Feedback and Annual Research Experience Survey	24
15	Problems and Managing Change	25
16	Completion to Submission	26
17	How is the thesis examined?	27
18	What should the thesis look like and what should it contain?	27
19	Submission of the thesis	31
20	How are examiners appointed?	31
21	Examination – Who does what and when?	32
22	The Viva examination	32
23	What decision can examiners make?	33
24	What if I have to re-submit?	34
25	Can I appeal against the examiners' decision?	34
26	Application for review of the examiners' decision (Appeal)	36
27	The award	37

Annexes

I	Contact List	38
II	List of BSU forms available	39
III	Research Ethics (non-clinical) at BSU	40
IV	Research at BSU – Principles of Good Practice	48
V	Research & the Data Protection Act	51
VI	Research Degree Regulations	55

**Please note that regulations and procedures are subject to modification.
You will be informed whenever any substantial modifications are made.**

1 BSU & Research Degrees

- 1.1 Bath Spa University (BSU) is the awarding body for research degrees (MPhil and PhD). The University's Higher Degrees (Research) Committee (HD(R)C) has responsibility for matters of policy, standards and procedures.
- 1.2 BSU's Graduate School has responsibility for the management of the research degree process and for ensuring that standards are safeguarded and promoted at all times. Research degree provision and management at Bath Spa conforms to Section 1 (Postgraduate research programmes – September 2004) of the Quality Assurance Agency's (QAA) *Code of Practice for the Assurance of Academic Quality and Standards in Higher Education* as confirmed by a QAA Special review of BSU provision against that code in 2005-6 and a QAA Institutional Audit in 2007.
- 1.3 HD(R)C reports annually to the Academic Board at BSU on the administration, management and progress of Research Degrees.
- 1.4 All research students are members of their School, as well as being part of BSU's graduate student body, organised and facilitated on a University wide basis through the Graduate School. All research students may use the Graduate School facilities in the Sophia Building, Newton Park. Students in art and design also have facilities at Corsham Court.
- 1.5 Research students are represented on the Higher Degrees (Research) Committee and appropriate School Committees.
- 1.6 **Research students and 'Intellectual Property Rights'** (IPR): The default position is that the student owns the IPR to their own work unless they have assigned it to another party (e.g. commercial sponsor) under a mutual agreement. Students must, however, ensure that they do not infringe the IPR of others (e.g. their supervisors). Students undertaking work that *might* lead to commercial exploitation and/or development should seek advice. This may be through the University's Business Support Services. More detailed advice is given in the *Welcome to Research Degree Study* booklet issued upon enrolment.

2 The Graduate School

- 2.1 BSU seeks to promote excellence within the work of research students and their supervisors through the Graduate School.
- 2.2 The Graduate School works to ensure that all policy, procedural and quality standard requirements are met. It also aims to enable both students and their supervisors achieve the high standards expected of research degree work.
- 2.3 The Graduate School supports students and supervisors through consultation, advice, training and support workshops. Standards are monitored through the application process, annual reporting and progression assessment (see below).
- 2.4 The Head of the Graduate School is Dr Paul Davies p.davies@bathspa.ac.uk.
- 2.5 The Graduate School Administrator is Allison Dagger a.dagger@bathspa.ac.uk.
- 2.6 The Graduate School is located in the Graduate Centre, Sophia Building, Newton Park. The centre houses the offices for Graduate School staff and provides computer and social facilities for research students.
- 2.7 Information on the Graduate School pages of the BSU web site is updated on a very regular basis. <http://www.bathspa.ac.uk/schools/graduate-school>
- 2.8 The Graduate School also provides student information through the University's virtual learning environment (Minerva).

3 Research Degrees at BSU

- 3.1 Higher degree research at BSU involves a student engaging in independent study leading to the development of new ideas and understanding in the context of existing knowledge. This is achieved through their own initiative, planning, gathering of information, innovation, and analysis. Both the MPhil and PhD involve substantial research, leading to significant and original contributions to inquiry or practice.
- 3.2 Some of the MPhil/PhD is credit-rated (commonly referred to as 'the 60-credit requirement'). This requirement states that research degree students must undertake a minimum of 60 credits of which at least 40 must be at Level 7 (Masters) or Level 8 (Doctorate) level, and of which at least 20 credits must be related to research methodology. This requirement is not intended to add an additional component, but to formalize a part of the research degree. The requirement therefore applies to all enrolled students. However, where applicants have gained *appropriate* research training through a Masters degree (or equivalent), they may ask that this be taken into account (by evidencing the appropriateness of the prior (learning) experience *in relation to* the proposed research degree) when negotiating the 60 credit requirement with their supervisors. Further guidance is issued separately to all applicants and enrolled students.
- 3.3 Such study may be undertaken full-time (FT) or part-time (PT). The Higher Education Funding Council for England (HEFCE) consider full-time to mean at least 21 hours per week devoted to study. Part-time students should spend at least 12 hours per week on their studies.
- 3.4 Research students may be asked to undertake teaching and/or demonstrating duties for which they will normally be paid. Such activities are normally expected of full-time students as part of their training/development although it should be noted that such opportunities cannot be guaranteed. It should be noted that although part-time students may be asked to undertake such duties, they cannot be guaranteed. Full-time students should not be asked to undertake more than 6 hours formal duty within any given week.

4 Defining Research Degrees - Master of Philosophy (MPhil)

4.1 *QAA and the National Framework*

In August 2008, The Quality Assurance Agency published *The Framework for Higher Education Qualifications in England, Wales and Northern Ireland*. (2nd edition)

The research degree of Master of Philosophy falls within the description for degrees awarded at Level 7. The following is drawn directly from the QAA *Framework* document.

Master's degrees are awarded to students who have demonstrated:

- a systematic understanding of knowledge, and a critical awareness of current problems and/or new insights, much of which is at, or informed by, the forefront of their academic discipline, field of study or area of professional practice
- a comprehensive understanding of techniques applicable to their own research or advanced scholarship
- originality in the application of knowledge, together with a practical understanding of how established techniques of research and enquiry are used to create and interpret knowledge in the discipline
- conceptual understanding that enables the student:
 - to evaluate critically current research and advanced scholarship in the discipline
 - to evaluate methodologies and develop critiques of them and, where appropriate, to propose new hypotheses.

Typically, holders of the qualification will be able to:

- deal with complex issues both systematically and creatively, make sound judgements in the absence of complete data, and communicate their conclusions clearly to specialist and non-specialist audiences
- demonstrate self-direction and originality in tackling and solving problems, and act autonomously in planning and implementing tasks at a professional or equivalent level
- continue to advance their knowledge and understanding, and to develop new skills to a high level.

And holders will have:

- the qualities and transferable skills necessary for employment requiring:
 - the exercise of initiative and personal responsibility
 - decision-making in complex and unpredictable situations
 - the independent learning ability required for continuing professional development.

4.2 *Describing the MPhil in the context of research degrees at BSU*

Master of Philosophy is awarded to those candidates who have engaged in critical investigation and evaluation of an approved topic and have demonstrated an understanding of research methods appropriate to the chosen field through the submission of a thesis.

The thesis should demonstrate familiarity with complex and specialized areas of knowledge and skills, engagement with research issues, the taking of responsibility for the research itself, and the capacity to work independently. Candidates must present and defend the thesis by oral examination to the satisfaction of the examiners.

4.3 *The word length of an MPhil thesis*

The thesis will be no more than 20,000 words if in science, art and design practice and practice-based music and performing arts subject areas. In social sciences, humanities and education, history and theory of art and design, and history and theory of music and performing arts it will be no more than 40,000 words. If accompanied by material in other than written form, or the research involves creative writing, then the thesis should normally be in the range 12-20,000 words.

4.4 *Minimum and maximum periods of registration for an MPhil*

Full-time students will take a minimum of 18 months and maximum of 36 months to complete. Part-time students will take a minimum of 30 months and a maximum of 48 months.

MPhil	Minimum time	Maximum time	Maximum word length: science, art and design practice and practice-based music and performing arts	Maximum word length: social sciences, humanities and education, history and theory of art and design, and history and theory of music and performing arts
Full-time	18 months	36 months	20,000	40,000
Part-time	30 months	48 months	20,000	40,000

Note that the viva should take place within the maximum registration period.

5 Defining Research Degrees - Doctor of Philosophy (PhD)

5.1 *QAA and the National Framework*

In August 2008, the Quality Assurance Agency published *The Framework for Higher Education Qualifications in England, Wales and Northern Ireland*. (2nd Edition)

The research degree of Doctor of Philosophy falls within the description for degrees awarded at Level 8. The following is drawn directly from the *QAA Framework* document.

Doctoral degrees are awarded to students who have demonstrated:

- the creation and interpretation of new knowledge, through original research or other advanced scholarship, of a quality to satisfy peer review, extend the forefront of the discipline, and merit publication
- a systematic acquisition and understanding of a substantial body of knowledge which is at the forefront of an academic discipline or area of professional practice
- the general ability to conceptualise, design and implement a project for the generation of new knowledge, applications or understanding at the forefront of the discipline, and to adjust the project design in the light of unforeseen problems
- a detailed understanding of applicable techniques for research and advanced academic enquiry.

Typically, holders of the qualification will be able to:

- make informed judgements on complex issues in specialist fields, often in the absence of complete data, and be able to communicate their ideas and conclusions clearly and effectively to specialist and non-specialist audiences
- continue to undertake pure and/or applied research and development at an advanced level, contributing substantially to the development of new techniques, ideas or approaches.

And holders will have:

- the qualities and transferable skills necessary for employment requiring the exercise of personal responsibility and largely autonomous initiative in complex and unpredictable situations, in professional or equivalent environments.

5.2 *Describing the PhD in the context of research degrees at BSU*

A PhD is awarded to candidates who have critically investigated and evaluated an approved topic and by so doing have made an independent and original contribution to knowledge. They also need to demonstrate an understanding of research methods appropriate to the chosen field. It will contain a major research, constructive or reflective component, which in sum, or part, is worthy of publication.

The work is presented as a thesis, which must be defended by oral examination to the satisfaction of the examiners. It is expected that the thesis and its defence will demonstrate substantial research and is a significant contribution to established knowledge.

In full, the Bath Spa University Doctoral descriptor is:

A doctorate is awarded to a candidate who:

- (1) *has conducted enquiry leading to the creation and interpretation of new knowledge through original research or other advanced scholarship, shown by satisfying scholarly review by accomplished and recognized scholars in the field;*
- (2) *can demonstrate a critical understanding of the current state of knowledge in that field of theory and/or practice;*
- (3) *shows the ability to conceptualise, design and implement a project for the generation of new knowledge at the forefront of the discipline or field of practice, including the capacity to adjust the project design in the light of emergent issues and understandings;*
- (4) *can demonstrate a critical understanding of the methodology of enquiry;*
- (5) *has developed independent judgement of issues and ideas in the field of research and/or practice and is able to communicate and justify that judgement to appropriate audiences;*
- (6) *can critically reflect on his/her work and evaluate its strengths and weaknesses, including understanding validation procedures.*

5.3 *Word Length of a PhD thesis*

A doctoral thesis submitted in science, art and design practice and practice-based music and performing arts subject areas should not exceed 40,000 words. In social sciences, humanities and education, history and theory of art and design, and history and theory of music and performing arts the thesis should not exceed is 80,000 words.

If accompanied by original material, based on explorative or creative practice (see section 6), then the thesis should normally be in the range of 20-40,000 words.

5.4 *Maximum and minimum periods of registration fro PhD*

Full-time students will take a minimum of 24 months and a maximum of 60 months. Part-time students will take a minimum of 36 months and a maximum of 84 months.

PhD	Minimum time	Maximum time	Maximum word length: science, art and design practice and practice-based music and performing arts	Maximum word length: social sciences, humanities and education, history and theory of art and design, and history and theory of music and performing arts
Full-time	24 months	60 months	40,000	80,000
Part-time	36 months	84 months	40,000	80,000

Note that the viva should take place within the maximum registration period.

6 Research Degrees Involving Creative Work

- 6.1 In creative fields it is entirely appropriate that an integral part of the submitted work should take the form of materials derived from practice, such as those involved with creative writing, musical composition and the making of images or forms. Research students working in these fields may pursue an interdependent programme of theoretical and practical work, leading to new knowledge expressed through the thesis as a whole (see Section 1.4 of the Research Degree Regulations (Annex VI).
- 6.2 Practice may be used in balance with theory and as an *integral* part of the work in order to explore, annotate and critique the central ideas or argument. The size and extent of the practical work is dependent on the degree to which it contributes to the intellectual whole.
- 6.3 In general terms, there should be a balance between the creative materials submitted and the written thesis within the range and maximum word counts as specified in 4.3 and 5.3 above. However, students are particularly advised to guard against interpreting this as a dual requirement, thereby developing not one thesis, but two – one written, one practice. The emphasis is on integration and purposeful exploration through practice.
- 6.4 The supervisory team should discuss the proposed means of research with the School Higher Degrees Tutor (or equivalent) and HD(R)C, particularly at the registration stage.
- 6.5 All procedures outlined in this Handbook apply to research students undertaking research degrees involving creative work.
- 6.6 In conducting the research, consideration needs to be given to how any material derived from practice is to be presented to the examiners and also how it can be stored as a permanent record of the research undertaken.
- 6.7 On notification to submit, the research student must advise the Graduate School of any requirements regarding the viewing or experience of the practical work, for example the availability of exhibition space or arrangements for performance.

7 Application and Admission as an Advanced Post-Graduate Student (initial registration)

- 7.1 BSU has the responsibility of ensuring that the admissions procedures are clear and consistently applied and that only those students who are appropriately qualified and/or prepared are admitted as advanced postgraduate students.
- 7.2 It must also ensure that all students accepted have both adequate support and supervision during their period of registration, and are in a position to complete their work successfully within the time available.
- 7.3 The Graduate School will work with Schools in the administration of the applications. The application process is confidential and will be treated as such.
- 7.4 *Recruitment*
- 7.4.1 Details of the Graduate School and research opportunities at BSU are given in the postgraduate prospectus and on the web.
- 7.4.2 Recruitment for funded bursaries and scholarships provided by BSU are advertised appropriately.
- 7.4.3 Schools deal with specific enquiries, discuss outline proposals and advise potential candidates whether to proceed or not.
- 7.5 *Requirements*
- 7.5.1 Applicants to BSU should have an upper second class (2.1) honours degree or above. Ideally, they should also have a Masters degree.
- 7.5.2 They must present a research proposal that is viable and original.
- 7.5.3 Application is made on the application form available from the Graduate School.
- 7.5.4 No application can proceed without two references. Both should be academic.
- 7.5.5 All applications must be accompanied by photocopies of degree awards and certificates.
- 7.5.6 Along with their application forms, candidates submit a paper of no more than 3000 words which demonstrates their ability. This could be a part of a dissertation from a previous degree, an essay on a chosen topic or something they have had published.
- 7.5.7 Where English is not the first language, proof of competency will be required; at least 6.5 on the IELTS scale, or its equivalent is the minimum requirement. Exemption is permitted where the candidate has undertaken a degree in the English language within the last 3 years.
- 7.5.8 No applicant can be enrolled until such time as they have completed any degree or other courses for which they are registered.
- 7.5.9 Entry will also be subject to the School being able to make suitable supervisory arrangements and being satisfied that research facilities are available.
- 7.5.10 It is a requirement that full-time research degree students live within reasonable access of BSU. Part-time students must be able to travel to the college on a regular basis. If credit-rated training must be undertaken (see 3.2) then students must attend relevant classes/workshops and submit work as required.

7.6 *Process of Selection*

- 7.6.1 Copies of the application documents are sent to the Head of School or their nominee.
- 7.6.2 Following consultation, the Head of School or nominee decides whether to interview or reject.
- 7.6.3 The Graduate School is advised of the decision. If the decision is to proceed, the Graduate School liaises with the candidate regarding interview arrangements.
- 7.6.4 Candidates are interviewed by a panel including the Head of School (or nominee), the likely Director of Studies and an academic tutor from outside of the School/subject area concerned. The Chair of the panel will have undertaken interview training and will make sure that BSU guidance on interviewing research students is followed.
- 7.6.5 For self-funded or internally funded studentships it should be noted that where the likely Director of Studies has also supplied a reference, another member of staff from that School/Department should stand in for them. In such circumstances, the role of the likely Director of Studies in the interview should be purely one of observation and advice.
- 7.6.6 All procedures relating to BSU's equal opportunities policy and relevant legislation must be observed.

7.7 *Criteria of Selection*

- 7.7.1 The School will need to be satisfied that the candidate has the intellectual capacity for higher degree research, a viable area of study and adequate means to complete.
- 7.7.2 The School must also consider any ethical issues that arise from the work, such as matters that are confidential or require special approval.
- 7.7.3 Consideration must be given to the practical aspects of the research, such as availability of archives, collections or sites, and access to them.
- 7.7.4 The School will need to confirm that it has sufficient resources to support the student, including supervisory time, workspace, resources and necessary facilities (or access thereto).
- 7.7.5 Where difficulties exist, these should be discussed with the Head of the Graduate School, before a final decision is reached on the applicant.
- 7.7.6 BSU needs to be satisfied that the candidate has provided *bona fide* qualifications and references and that the School is in a position to proceed.
- 7.7.7 Any conditions imposed by sponsors should be fully considered as part of the selection process.

7.8 *Procedures for Acceptance*

- 7.8.1 Head of Schools advise the Graduate School of their decision to accept or reject an applicant.
- 7.8.2 Where the decision is to accept, the Graduate School will receive confirmation of the supervisory team and of the School's ability to support the research.
- 7.8.3 An offer letter will be issued by the Graduate School, with copies to the Head of School, School Higher Degrees Tutor (or equivalent) and the Director of Studies. This will contain confirmation of the supervisory team, the date enrolment begins,

and the date by which the application for research degree registration must be made to HD(R)C. The date by which the Progression Assessment should be completed will also be specified. The letter will also contain details of any conditions placed upon the offer. It will be accompanied by a copy of the BSU *welcome to MPhil/PhD at BSU* booklet. A copy of the full *Research Degree Handbook* will be issued to the student via Minerva.

7.8.4 Candidates must confirm in writing that they accept the offer. By doing so they agree to all relevant university regulations and to work within the requirements of BSU's *Research Degrees Handbook*.

7.8.5 The offer will be deemed to have lapsed if no reply is received within 3 months.

7.9 *Exceptional Admissions*

7.9.1 There may be circumstances where consideration can be given to a candidate whose experience may fall outside of that described above.

7.9.2 As long as BSU has *sufficient* and *adequate* proof of ability, for example through an extended essay, appropriate testing and/or information about exceptional performance or practice elsewhere, then the University can give consideration to admission, subject to the recommendation of the School.

7.10 *Cycle of Admissions*

Formal enrolment commences on one of the quarter dates i.e. the first day of the month of January, April, July or October.

7.11 *Fees and Funding*

7.11.1 Information about the fees charged for part and full-time higher degrees is sent out with application forms and confirmed in the offer letter. Methods of payment are also explained.

7.11.2 Where BSU is funding a scholarship or a fees-only bursary, conditions apply. These can include the repayment of all or part of the funds in the event of the student withdrawing from the University before successful completion or failing to reach the required standards during the period of registration.

7.11.3 Advice about funding from external sources is given by the School and where appropriate by the Graduate School.

7.11.4 When a student withdraws during the academic year, all due fees must be paid in full (see 7.11.6 below). Similarly if BSU terminates a student's registration, for example through lack of contact, all fees will be due.

7.11.5 Fees are payable in full for each academic year for which a student is enrolled.

7.11.6 When a student withdraws during the academic year, any due fees must be paid in full. Similarly if BSU terminates a student's registration, for example through lack of contact, any due fees must be paid. If a student has paid for the full year, but withdraws part way through the year BSU will refund fees for the period of the year remaining following official withdrawal. For students completing their research degrees the completion point is when the Graduate School is notified of the successful outcome by the examiners not the submission date of the thesis. Again, any remaining fees which have already been paid for the remainder of the year will be refunded by the University.

8 Advanced Postgraduate Studies (initial registration)

- 8.1 In the first instance, all students are enrolled with BSU as **advanced postgraduates**. This initial registration stage is devoted to the development of the formal research proposal for full registration (see section 10 below). It is an important period, when students must work out in some detail how best to approach their research and develop their awareness of all matters likely to be involved in the research process. This is not to preclude or prevent later developments or discoveries, but is instead aimed at setting the work off on the right footing, with the student thoroughly prepared for what is involved and cognisant of the standards to be reached.
- 8.2 The research proposal forms the basis of the application for registration for a higher degree (See Section 10 below).
- 8.3 The period between enrolment with BSU and the application for registration to HD(R)C should normally be no more than three months for full-time students and six months for part-time students. During this time, students prepare and submit a detailed research proposal, including a summary of the methods to be employed. It should establish the aim of the work and provide a timetable for its completion (bearing in mind the minimum and maximum registration periods).

Full-time students	Proposal submitted 3 months after enrolment
Part-time students	Proposal submitted 6 months after enrolment

- 8.4 Typically the period of advanced postgraduate studies will involve the student undertaking:
- Induction within the school
 - Meetings with members of the supervisory team
 - Meeting with the Head of the Graduate School
 - An extensive literature search in relation to the topic
 - Development of research skills
 - Training appropriate to the student's needs
 - Background reading on research methods and management
 - Preparation and submission of the research proposal to HD(R)C

8.5 *Induction*

The induction typically includes the student receiving information on:

- BSU, its Schools and its research environment
- School's research commitments/facilities
- Facilities available to the student
- Research seminar programmes
- Health and safety
- Research training available
- The relationship of the researcher to the on-going work of the School
- Student welfare provision

8.5.1 As part of the induction a student should be advised on:

- The processes and requirements of the research degree
- Use of the student log-book and Minerva resources (separate advisory material is also issued by The Graduate School)
- Arrangements for supervision, including evaluation, monitoring and review
- Opportunities to meet other research students and staff
- Opportunities to develop competence and original thinking such as through research seminars

- 8.5.2 A research student should be given orientation to the library and the bibliographic resources it contains. School library tutors are available to do this by appointment.

9 BSU Graduate School, School and Supervisory Support

- 9.1 Bath Spa University welfare and academic support services are available to all enrolled and registered students.
- 9.2 **The Graduate School** takes a strategic view of graduate studies at BSU and advises the HD(R)C. Its role is to maintain and promote standards of higher degree research and its supervision.
- 9.2.1 It administers the higher degree process in line with the University's research degree regulation and associated processes and procedures.
- 9.2.2 It monitors and develops the research student environment of BSU in ways that benefit research degree students and help lead to successful completions.
- 9.2.3 It makes provision for the training and support of supervisors.
- 9.2.4 It liaises with Head of Schools, School Higher Degrees Tutors, supervisors, Library and Information Services and research students, as necessary.
- 9.2.5 It offers students access to generic training in research management and methods and makes provision for research seminars and discussion groups.
- 9.2.6 It provides advice to individual students, supervisors and Heads of School.
- 9.2.7 Where needed, it counsels and arbitrates.
- 9.3 **The Heads of School** are responsible for ensuring quality control of research degrees in their School.
- 9.3.1 They determine the resource implications of accepting a research degree student, including the staffing implications.
- 9.3.2 They ensure that the School continues to support the student, in whatever ways are appropriate, throughout the period of registration.
- 9.3.3 They must also ensure that the supervisory team has the time and the opportunity to maintain a viable supervisory arrangement and that the student's minimum entitlement to supervision is not jeopardized by the supervisor's other commitments.
- 9.4 **Schools/Departments** are responsible for the quality of research degrees in their remit.
- 9.4.1 They ensure that students and supervisors are adequately supported, especially in relation to time, workspace and resources.
- 9.4.2 They exercise control on the quality of applicant, through recommendations made at enrolment, and thereafter seek to ensure that all procedures are followed appropriately and in ways that enhance the research process.
- 9.4.3 Schools ensure that higher degree students participate in the research environment of both the School and the University as a whole.
- 9.4.4 They liaise with the Head of the Graduate School and the HD(R)C, where necessary.

9.5 **School Higher Degrees Tutors (or equivalent).**

9.5.1 Their roles are to:

- Provide support to research students and research degree activity
- Promote communication between supervisors, students, the School and the Graduate School
- Facilitate communication and support between subject areas, schools and across BSU as a whole

9.5.2 Higher Degrees Tutors (or equivalent) are nominated annually by the Head of School and are members of HD(R)C.

9.5.3 Higher Degrees Tutors represent the views of the higher degree students and their supervisors to the School and the Graduate School.

9.6 **Supervisory Teams**

9.6.1 The team will normally consist of a Director of Studies and a Second Supervisor. A third supervisor can be used if necessary. Supervisors can be external to the University, but the Director of Studies should be internal.

9.6.2 The supervisory team is formally appointed by the Higher Degrees (Research) Committee on recommendation from the School as part of the registration process.

9.6.3 The supervisory role is to support the student by giving guidance and constructive criticism at all stages.

9.6.4 The supervisory team will together define their individual contributions to the supervision of the work and this will be explained to the student during their induction.

9.6.5 Where needed, the supervisory team should either provide subject specialist training or arrange for training to be given.

9.6.6 At least one member of the supervisory team will have experience of supervision to completion at the appropriate level (MPhil or PhD).

9.6.7 Members of the supervisory team are required to undertake training within the Graduate School programme as required by University regulations.

9.7 **The Director of Studies**

9.7.1 The Director of Studies ensures that all procedures, from enrolment to submission, are appropriately followed and that standards are maintained.

9.7.2 The Director of Studies leads on such matters as annual reporting, maintain contact with the student and ensuring that the student participates as fully as possible in the research culture of their School and research training or support programmes available to them through the Graduate School. They should also ensure teaching and demonstration opportunities are communicated to the student.

9.7.3 They advise on research funding and support students in their applications to appropriate bodies.

9.7.4 The Director of Studies also encourages student participation in external seminars and conferences, wherever possible.

9.7.5 The Director of Studies meets the student on a regular basis and keeps a log of meetings, along with details of plans, decisions made, and advice given.

9.7.6 It is normally expected that the Director of Studies or other supervisor should see the student not less than four times a term for full-time students and twice a term for part-time students.

9.8 **The Second Supervisor**

9.8.1 The Second Supervisor provides an extra dimension to the supervisory team. They may bring content or methodological expertise that augments those of Director of Studies.

9.8.2 They should have sight of research plans and draft chapters and be in a position to provide appropriate feedback and advice.

9.8.3 The Second Supervisor is consulted whenever a report on student progress is required.

9.8.4 It is expected that the Second Supervisor should see evidence of research (written work, field or experimental work) from both full and part-time students on a regular basis.

9.8.5 They should normally see the students at least once a term, and attend joint meetings of the supervisory team and student as necessary.

9.9 **External Supervisors (if used)**

9.9.1 The role of the External Supervisor varies in relation to their area of expertise.

9.9.2 It is expected that they will see a significant proportion of the student's work. The External Supervisor is consulted whenever a report on student progress is required.

9.9.3 The External Supervisor should see work from both full and part-time students at least once a term and should return this within three weeks of receipt, with comments and advice.

9.9.4 It at all possible, the External Supervisor should see the student at least once in each academic year and be available to students when guidance is needed.

9.9.5 It is accepted that face to face meetings with students even on an annual basis may not be possible where either the supervisor or the student resides at considerable distance from Bath. If this is the case alternative, adequate arrangements for contact must be in place.

10 Application for Registration (full registration)

- 10.1 All Advanced Postgraduate Students have to register with HD(R)C to progress to MPhil or PhD status.
- 10.2 Registration depends upon a reasonably detailed research proposal, normally submitted three months from enrolment for full-time students and within six months for part-time students. The proposal is considered by HD(R)C which decides whether to fully register the student and the programme of study for a specific degree path.
- 10.3 To achieve registration, the proposal needs to:
- Demonstrate a clear aim
 - Indicate the research question or the research field to be questioned
 - Identify and discuss the approaches or methods to be undertaken
 - Situate the proposal in relation to established knowledge
 - Explain clearly why the proposal is original and likely to lead to new understanding
 - Have adequate supervisory support
 - Clearly state how any necessary accredited training will be achieved (see 3.2)
- 10.4 The proposal form is available from the Graduate School and is normally also on the Graduate School's website; <http://www.bathspa.ac.uk/schools/graduate-school>. It is also in the research student and research supervisors MINERVA areas.
- 10.5 The proposal is in effect the specification for the research that is to follow. The supervisory team will give guidance on this. The Director of Studies may be called on to advise the HD(R)C on the application.
- 10.6 The Higher Degrees (Research) Committee scrutinizes all proposes carefully. By considering the viability of the proposal, HD(R)C acts to ensure a consistently high quality of research degrees at the University. It also acts to help the student achieve a solid foundation for their work.
- 10.7 In the event of the proposal being referred back, the Graduate School will advise the supervisory team and the student with respect to the re-submission of the proposal.
- 10.8 Students who have not successfully registered within 12 months of enrolment will have their situation thoroughly reviewed.
- 10.9 On successful registration, the registration date can be back-dated to enrolment (subject to a maximum of 12 months).
- 10.10 Any conditions attached to the research by sponsors should be fully communicated to HD(R)C at registration. HD(R)C reserves the right to comment upon such conditions if it deems them inappropriate.
- 10.11 *Responsibility is placed upon the HD(R)C to*
- Ensure that all applications meet the entry requirements as specified in the regulations
 - Consider the suitability of the candidate
 - Consider the viability of the research proposal
 - Ensure that any programme of related studies and skill development needed, and the means by which this might be provided for, is clearly articulated
 - Confirm the level of award for which the applicant will be registered
 - Ensure that any arrangements with *collaborating* establishments are appropriately arranged, defined and confirmed in writing, including the applicants use of facilities, information or other resources, advice and supervision
 - Be satisfied that appropriate supervisory arrangements are in place and that any External Supervisor appointed is suitable

- Ensure that proposals consider any ethical issues which are likely to arise in the research
- Respect information given to it in confidence

10.12 The student will receive notification of the decision to register them that will include

- Details of the level and mode the degree, and the place of study
- Start date and period within which submission must be made
- Outline of the proposed study
- Requirement and timing of progression assessment
- The student's responsibilities for his/her academic studies and candidacy for a research award
- Details of the registration fee payable to cover administration and examination costs

10.13 From this point on, students are registered specifically as either MPhil or PhD students.

10.14 The registration fee is paid to BSU. This is currently £640 but subject to change.

11 Progression Assessment

11.1 Throughout the period of registration progress will be reviewed, formally and informally. Both the student and the supervisory team will be actively involved in all assessments made.

11.2 **Progression assessment** is the means through which BSU is able to gauge whether the student is achieving the required level of progress.

11.2.1 Progress is assessed in the early stages of the work and has to be deemed satisfactory **if** the student is to continue. This includes satisfactory progress toward any accredited research training (see 3.2).

11.2.2 This process also confirms or amends the student's registration for the award of MPhil or PhD. It may also serve as a transfer point from MPhil to PhD, and students and their Director of Studies should signal (to the Graduate School) where this is the case before the progression paper is written.

11.2.3 Progression assessment takes place within the region of the following, on the advice of the Director of Studies:

Master of Philosophy	Full time	9 months
	Part time	Pro-rata (normally within 18-24 months)

Doctor of Philosophy	Full time	12 months
	Part time	Pro-rata (normally within 24-28 months)

The actual timing for part-time students should be agreed and communicated to the Graduate School at the earliest possible date. Please note that more detailed guidance will be provided prior to Progression Assessment by The Graduate School.

11.2.4 The assessment is carried out by a panel including the Director of Studies, an academic from the Student's School not engaged in the supervision and the Head of the Graduate School or nominee. Members of the supervisory team can also be present.

11.3 The assessment has two components:

- A research paper submitted by the student
- A *viva* examination

11.3.1 *The research paper*

The student will submit a paper of between 3,000 and 6,000 words in length drawn from their research to date. It should contain some reflection on the research process and the methods currently being employed. The paper must be appropriately referenced. The assessment panel may ask the student to present the paper orally as well as in writing.

11.3.2 *The viva examination*

The *viva* will allow the assessment panel to discuss the work with the student and any possibilities and issues that arise from it.

Typically, the panel will want to question the student on:

- Aims of the research
- Background to the research
- Context of the research within established knowledge
- Methods being used
- Time scale for the remaining stages of the work
- Likely date of submission
- Available literature

In particular, the student will be expected to be able to discuss their work, critically with the panel.

11.4 The assessment panel submits a progression report to the Graduate School in which it may advise that the:

- *Student passes and stays on as PhD*
- *Student passes and stays on an MPhil*
- *Student passes and transfers from MPhil to PhD*
- *student passes but transfers from PhD to MPhil*
- *Student's situation is thoroughly reviewed and decisions taken in the light of further discussion*

11.5 HD(R)C is notified that the student has gone through the Progression Assessment and informed of the decisions taken. The student also receives formal notification and a copy of the panel's report.

12 Monitoring of Standards and Performance

- 12.1 A formal monitoring of progress will be undertaken annually as required by the appropriate academic school procedures. The purpose is to monitor progress, help aid planning of future work and identify and problems.
- 12.2 Wherever possible or required, appropriate action will be taken in the light of comments made. They may involve further training, advice, or counselling, depending on the specific circumstances. In particular, Schools will advise the Graduate School if students in receipt of scholarships, bursaries and grants from BSU are failing to fulfil their commitments. Appropriate action will be taken, as necessary.
- 12.3 A report on each student's progress will be submitted to The Graduate School and HD(R)C. The Graduate School prepares a general report on the key issues arising for HD(R)C.
- 12.4 Neglect of responsibilities.
- Any student who is deemed to have neglected their research within the previous six months (full-time students) or nine months (part-time students) will be referred to the Head of School.
- 12.4.1 They may also be required to meet with the Head of the Graduate School to discuss their situation.
- 12.4.2 Following discussion with the Head of School and the Director of Studies, the Head of the Graduate School will advise a course of action. If necessary, HD(R)C will be informed of this.
- 12.4.3 A similar course of action will be taken in the event of supervisory neglect. Further formal procedures may ensue, if appropriate.
- 12.4.4 Students in receipt of BSU funds may have all funding suspended if academic responsibilities have been neglected and in certain circumstances may be required to repay the college all or part of the funds received to date.
- 12.4.5 Failure to submit annual reporting forms in case of students and supervisors will also be considered a neglect of responsibilities.
- 12.5 Any additional monitoring procedures required (for example in the case of externally funded studentships) must also be completed as required.

13 Responsibilities within the Supervisory Relationship

13.1 Research degree students carry the responsibility for the originality and successful completion of their own work. The supervisory team acts to guide the work. Here the responsibilities are more fully defined:

13.2 *Research degree students are responsible for:*

- Their own progress and planning of their work at all stages to ensure that the research is completed within the specified period. They are also responsible for undertaking specified development activities.
- Keeping their *Student log-book* up to date and providing copies of notes of meetings in the log-book to their supervisor(s)
- The originality and individuality of the work, ensuring at all times that sources, ideas and opinions of others are fully and appropriately acknowledged. In particular, students should be aware of the seriousness which BSU and the wider academic community attaches to instances of both academic fraud and plagiarism (refer to BSU Academic Regulations, available on the bathspa.ac.uk website)
- The development of their ideas and the means through which research questions are formed, responded to and explored.
- The conduct of their research in an ethically aware manner (see Appendices)
- Maintaining their proficiency in English (where English is not their first language)

13.3 *It is expected that research degree students will:*

- Establish an agreed programme of work with supervisors, including the aims, objectives and deadlines for each stage of the research
- Attend meetings with supervisors on a regular basis
- Keep their *Student log-book* up-to-date and providing copies of notes of meetings in the log-book to their supervisor(s)
- Produce written and other work as and when required or promised
- Keep supervisors informed of progress and meet all deadlines set
- Participate in progress monitoring processes
- Initiate meetings with supervisors and others within the university, when needed
- Advise their Director of Studies and/or Graduate School of any difficulties
- Participate in research training and other programmes offered and/or required of them
- Attend research seminars in their own Schools and, if applicable, in other Schools
- Take advantage of opportunities to attend relevant seminars outside of BSU and to engage with the wider academic community, especially through the presentation of papers and/or posters
- Respond promptly to the annual processes of reporting and re-registration
- Comply with all Health and Safety regulations and codes of practice

- Work within BSU regulations, procedures and guidelines.
- Make appropriate acknowledgement in any publication or presentation which involves supervisory support

Full-time research degree students can expect at least 30 hours supervision per year (part-time 15 hours).

13.4 *The Director of Studies as the first supervisor is responsible for:*

- The co-ordination of the whole process according to BSU procedures and regulations
- Guiding the student into ways of working and thinking that are of the appropriate level and quality

13.5 *It is expected that the Director of Studies will*

- Enable the establishment of the research programme
- Advise on funding and research grants wherever possible
- Ensure the student undergoes induction and attends research seminars or workshops as necessary and/or required through either the '60 credit-requirement' or the student's personal development needs
- Identify the training/development needs of the student and liaise with the School and the Graduate School concerning the best means of meeting those needs as necessary
- Arrange regular meetings with the student and ensure that the Second Supervisor and External Supervisors are involved in the supervision
- Keep records of the supervisory meetings in addition to that provided by the student via their log-book, if necessary
- Liaise with the School Higher Degrees Tutor (or equivalent), the Graduate School, and the HD(R)C in respect of the student's progress as necessary
- Advise and monitor the progress of research in relation to academic content and agreed time scale
- Attend HD(R)C meetings, if requested, when matters relating to the student are discussed
- Produce reports and all formal applications necessary within the process at the points needed or requested
- Ensure that all procedures are followed from enrolment through to submission
- Advise students on any legal, ethical or procedural difficulty with the work, or assist in providing direction to an authoritative source of advice
- Ensure compliance with all Health and Safety regulations and other BSU regulations
- Inform the student of any extra duties available such as teaching or demonstrating
- Keep their own supervisory skills up-to-date

- 13.6 The responsibilities and expectations of the Second Supervisor are defined at the point where the supervisory team is established.
- There will be times where the Second Supervisor is appointed because of the relevance of their specialist knowledge. They may therefore have a particular responsibility towards certain sections of the work.

At all times, the Second Supervisor should be able to advise on research methods and research management in the light of the work being undertaken

In particular, they should provide an overview of the work,

- helping the student move the work into a coherent whole
- Their advice should be available to the student and the supervisory team as a whole. They should keep records of their contact with students

- 13.7 Where students or supervisors are away for extended periods (for example undertaking archive or field-based work) the Director of Studies and the student should ensure that adequate arrangements for supervision remain available for that period. If the Director of Studies or main academic supervisor are scheduled to be away from normal duties (e.g. on research leave) and unavailable to the student for a period exceeding 3 months, they should ensure adequate alternative supervisory arrangements are in place and communicated to all involved (in writing) prior to their absence. This may involve a formal change of the supervisory team. The Graduate School should be informed of any such circumstances.

14 Feedback and Annual Research Experience Survey

- 14.1 Students have a representative on their appropriate school board or research committee (or similar). On an annual basis the Graduate School also asks research students to nominate a representative to the Higher Degrees (Research) Committee. Student representatives may not attend those parts of meetings that deal with confidential (i.e. student related) matters.
- 14.2 From 2007-8 the Graduate School coordinates an annual research experience survey that gauges student opinion upon general matters relating to the research degree study (e.g. level of support/facilities) and on the effectiveness of generic and subject-specific training provided. The results of this are reported to HD(R)C and will be disseminated more widely via MINERVA. At the time of writing the survey is carried out as part of the Higher Education Academy Postgraduate Research Experience Survey (PRES).

15 Problems and Managing Change

15.1 *Problems*

Where problems arise students should seek advice from either their Director of Studies, School Higher Degrees Tutor, or Head of School as appropriate. If there is any doubt about who to approach students should seek advice from the Head of Graduate School. Most problems encountered are either personal, or problems with the research itself (e.g. methodological problems). If however, the problem is in the form of a complaint, and not addressed through dialogue with involved parties, the University does have a formal complaints procedure. The definitive version of this is held on line at <http://www.bathspa.ac.uk/regulations/>. A paper copy can be supplied by The Graduate School if required.

15.2 *Changing Supervisor*

From time to time, it is necessary to change the members of the supervisory team. This is especially so when a supervisor leaves or is unable to provide a consistent level of supervision due to additional responsibilities or ill health. There may be occasions where the development of the research necessitates additional or alternative supervision. There may also be occasions where the Head of School decides that a change in supervision is in the best interests of the student.

In such circumstances, swift action needs to be taken to ensure that the student suffers the least amount of disruption possible. The Graduate School should be advised. The form *Change in the Arrangements for Supervision* will need to be submitted to HD(R)C with support from the Head of School.

15.3 *Changing the Research*

It is expected that once a programme of research has begun the student will be working within its scope. A fundamental change to the field of study or the methodology employed will require approval from, and the support of, the Head of School. The HD(R)C will need to give any final approval to changes made. It is recognized that such changes are necessitated for example where a change in employment impacts upon what can be achieved within the planned research. Occasionally a project fails to develop satisfactorily, with no fault on the students' part, or a funded or collaborating institution discontinues its support. The form *Change in the Programme of Research* will need to be submitted to HD(R)C with support from the Head of School.

15.4 *Changing from MPhil to PhD or PhD to MPhil status*

Students who are registered for a PhD and who are unable to complete the approved programme of work or who are registered for an MPhil and have valid grounds for extending their studies to a doctorate, can apply for transfer of registration. The form *Transfer of Registration* will need to be submitted to HD(R)C, with support from the Head of School. Transfer may also take place as part of the progression assessment (see above).

15.5 *Extension*

A period of extension to the registration period can be given to students, although this is not automatic. Applications will need to state the reasons for the delay in completing the thesis and the expected date of completion. A form *Extension of Period of Registration* is available.

15.6 *Suspension*

Registration can be suspended if the student is facing difficult circumstances that interrupt the progress of the research. These might, for example, include prolonged illness, change of residence, or bereavement. It might also include situations where a major opportunity presents itself, such as attachment to a prestigious project for a finite period. Application should be

made on the form *Suspension of Registration*. It will need to be supported by the Director of Studies and Head of School and have attached a revised timetable for the completion of the work within the remaining period of registration.

Note: If you suspend your studies you are not entitled to supervisory support for the suspension period. Fees are not payable for the period of suspension.

Students who have suspended for more than 12 months will have their situation thoroughly reviewed.

15.7 *Withdrawal of Students*

Students who choose to discontinue their studies must advise the Graduate School on the form *Withdrawal from Registration*, giving their reasons. Those students who have received funding from BSU will need to discuss their position with the Head of School and with the Head of the Graduate School. Fees will be due for the current academic year in which the withdrawal takes place up to the time of withdrawal.

15.8 *Termination of Registration*

BSU reserves the right to terminate the registration of students who have neglected their studies, failed to meet deadlines and/or required standards, or who have contravened BSU's codes of practice, the responsibilities set out in this document or University regulations. Students may appeal against termination of their registration through the University's Appeals Procedure (freely available at <http://www.bathspa.ac.uk/regulations/>). Appeals against the examination outcome are handled by a review panel (see Sections 24 and 25 below and Section 1.16 of the Research Degree Regulations, Annex VI).

16 **Completion to Submission**

16.1 Research students and their supervisory teams should pace the research to ensure that the work can be completed within the registration period allowed.

16.2 Where appropriate, extensions can be given but there will always be a limit to the time made available.

16.3 To ensure that all concerned are well aware of the constraints, the Graduate School will give formal notice when twelve months of the registration period are remaining.

16.4 It is recognized that the final year or so is hugely important and effort will be made to support students during this time. In particular, they are encouraged to give research seminars and engage in open discussion of their work as a means of preparing for the viva. Training will be available on preparing for the viva via Graduate School workshops.

16.5 It is expected that a final draft of the thesis will be seen and commented on by the supervisory team at an appropriate time prior to submission and that the final text will be available, bound and submitted to the Graduate School no later than the date specified.

16.6 The final decision on the content of the dissertation and when to submit it rests with the candidate.

16.7 It is a requirement that the thesis is submitted and examined within the maximum period of registration allowed.

16.8 It is the responsibility of the student to give formal notification to the Graduate School of their intention to submit and this should normally be received at least three months before submission takes place.

16.9 The notification will be followed by the completion of forms recommending the appointment of

examiners by the Head of School and the Director of Studies if it has not already been completed. This form will go to HD(R)C for approval. A thesis may not be examined until HD(R)C has formally approved the examiners' suitability.

- 16.10 Thereafter the examination and award procedures are as laid out in the Research Degree Regulations (Annex VI, Sections 1.14 to 1.17) and summarized in Sections 17-25 below). Candidates for examination are advised to read the regulations covering examination in full (Annex VI, Sections 1.14 to 1.17) and seek advice from the Graduate School if they are unsure about any aspect of the examination process.

17 How is the thesis examined?

- 17.1 The examination has two stages:

- a) The candidate's submission of the thesis and the examiners' independent preliminary assessment of it; and
- b) The defence of the thesis by the candidate by viva voce or approved alternative examination

- 17.2 The thesis is examined by at least two examiners, one of whom is external to the University. If the candidate has had a fixed contract of employment with the University for more than 12 months then a second external examiner is also appointed.

- 17.3 The internal examiner shall not have taken part in the candidate's progression assessment or had any supervisory role with respect to the candidate. The external examiners shall be independent of the University and had no input into the work being examined or recent collaboration with the candidate or supervisors.

- 17.4 It is a normal expectation that the examining team will have an aggregate experience of external examination of at least 3 theses at the same level.

- 17.5 Where the thesis is accompanied by creative works these should be sent to the examiners with the thesis wherever possible (eg in the case of novels, scripts, poetry or scores).

Where the thesis is accompanied by creative works in the form of original artefacts (eg paintings, installations, ceramics) or performance (eg concert) the candidate and supervisors must arrange for a record of the artefacts or performance to accompany the thesis (see Research Degree Regulation 1.4.3 (annex VI)). The candidate and supervisors must also arrange for the exhibition of the artefacts or the production of the performance in a way that allows examiners to view the artefacts or performance and reflect on the artefacts or performance together with the written thesis before the viva voce examination.

18 What should the thesis look like and what should it contain?

- 18.1 *Changes to title*

If the candidate proposes a change to the approved title of the thesis, he or she shall submit the final title of the thesis to the HD(R)C at the same time as the examination arrangements are proposed. Changes to the title thereafter are only permitted if required by the examiners.

- 18.2 *Abstract*

There shall be an abstract of approximately 300 words bound into the thesis which shall provide a synopsis of the thesis stating the nature and scope of the work undertaken and of the contribution made to the knowledge of the subject treated. One loose copy of the abstract shall be submitted with the thesis. The loose copy of the abstract shall have the name of the author,

the degree for which the thesis is submitted, and the title of the thesis as a heading. Where the language of the thesis is not English, the abstract shall be in English.

18.3 *Statement of objectives*

The thesis shall include a statement of the candidate's objectives and shall acknowledge published or other sources of material consulted (including an appropriate bibliography) and any assistance received.

18.4 *Collaboration*

Where a candidate's research programme is part of a collaborative group project, the thesis shall indicate clearly the candidate's individual contribution and the extent of the collaboration.

18.5 *Publication*

The candidate shall be free to publish material in advance of the thesis but reference shall be made in the thesis to any such work. Copies of published material should either be bound in with the thesis or placed in an adequately secured pocket at the end of the thesis.

18.6 *Length*

The length of the thesis must conform to the word limits as given in Sections 4.3 (MPhil) or 5.3 (PhD) above.

18.7 *Format for submission*

The following requirements shall be adhered to in the format of a submitted thesis:

i) it shall normally be in A4 format, in permanent and legible form, using either typescript or print. Where copies are produced by photocopying processes, these shall be of a permanent nature; where word processor and printing devices are used, the printer shall be capable of producing text of a satisfactory quality; the size of character used in the main text, including displayed matter and notes, shall not be less than 2.0mm for capitals and 1.5mm for x-height (that is, the height of lower-case x);

ii) it shall be printed on the right hand (recto) side of the page. The paper shall be white and within the range 70 g/m² to 100 g/m²;

iii) the margin at the binding edge of the page shall not be less than 40mm; other margins shall not be less than 15mm;

iv) double or one-and-a-half spacing shall be used in the typescript except for indented quotations or footnotes where single spacing may be used;

v) pages shall be numbered consecutively through the main text including photographs and/or diagrams included as whole pages. Page numbers shall not be printed in the margin;

vi) the title page shall give the following information:

a - the full title of the thesis;

b - the full name of the author;

c - that the degree is awarded by Bath Spa University

d - the award for which the thesis is submitted in partial fulfilment of its requirements;

e - the school in which the student was based;

f - the name of the affiliated institution, where relevant;

g - the collaborating establishment(s), if any;

h - the month and year of submission which shall be updated on each occasion on which the thesis is submitted.

18.8 *Binding of the thesis for examination*

A thesis submitted for examination purposes shall be in a temporarily bound form which is sufficiently secure to ensure that pages cannot be added or removed (such as 'perfect binding' or spiral binding). A thesis submitted in temporary binding shall be in its final form in all respects except the binding. Copies of CD-ROMs or other materials must be secured in a pocket within the thesis.

18.9 *Binding of the final approved thesis*

A thesis shall be presented in a permanent binding of the approved type before the degree may be granted. The candidate shall confirm that the contents of the permanently bound thesis are identical with the version submitted for examination except where amendments have been made to meet the requirements, or at the suggestion of the examiners.

The approved binding for a final version of a thesis shall be:

- i) of a fixed type so that leaves cannot be removed or replaced;
- ii) the front and rear boards shall have sufficient rigidity to support the weight of the work when standing upright;
- iii) the outside front board shall bear the title of the work, the name and initials of the candidate, the qualification, and the year of submission, all in at least 24pt type;
- iv) the spine of the binding shall bear the name and initials of the candidate, the qualification, and the year of submission, all in at least 24pt type, reading downwards;
- v) the binding of a thesis shall be black for MPhil and pantone 301 (blue) for a PhD
- vi) The lettering upon the binding shall be silver for both MPhil and PhD.

18.10 *Exceptions*

Parts of the thesis, and very exceptionally all of it, may be presented in other formats (such as CD-ROM) or using paper sizes other than A4, where it can be demonstrated that the contents can be better expressed in that form and are capable of being assessed. An application to submit a thesis in another format must be made to the HD(R)C on the designated form for consideration by the Committee and must have the support of the director of studies.

18.11 *Confidentiality*

Confidentiality of theses is governed by Regulations 1.6.3 to 1.6.6 (Annex VI). Where it is necessary to apply for confidentiality of the thesis after registration the application should be made to the Head of Graduate School for approval by the appropriate committee.

Where the Committee has agreed that the confidential nature of the candidate's work is such as to preclude the thesis being made freely available in the library of the University (and collaborating establishment, if any) and, in the case of a PhD, the British Library, the thesis shall, immediately on completion of the programme of work, be retained by the University on restricted access and, for a time not exceeding the approved period shall only be made available to those who were directly involved in the research.

The Committee shall normally only approve an application for confidentiality in order to enable a patent application to be lodged or to protect commercially or politically sensitive material. A thesis shall not be restricted in this way in order to protect research leads. While the normal maximum period of confidentiality is two years, in exceptional circumstances the Committee may approve a longer period. Where a shorter period would be adequate the Committee shall not automatically grant confidentiality for two years.

[Specimen thesis or dissertation title page]

THE ORIGINS OF UNDERWATER
BASKET WEAVING IN WESSEX

JOHN ALBERT SMITH

A thesis submitted in partial fulfilment of the
requirements of Bath Spa University
for the degree of Master of Philosophy/Doctor of Philosophy*

This research programme was carried out
in collaboration with the Marine Basket Weavers' Association#

School of Science and the Environment, Bath Spa University

May 2008

*delete as applicable

include if applicable

19 Submission of the thesis

- 19.1 The candidate shall provide a draft of the thesis to the supervisor(s) prior to submission and shall receive their comments on it. The final decision on the content of the thesis and when to submit it rests with the candidate
- 19.2 The thesis shall be submitted to the Graduate School within the period of registration, with the designated form confirming that it has not been submitted for a comparable award. The candidate shall not be precluded from incorporating in the thesis, covering a wider field, work which has already been submitted for a degree or comparable award, provided that it is indicated on the form and also in the thesis, which work has been so incorporated. Sufficient copies of the thesis shall be submitted to enable each examiner to receive a separate copy.
- 19.3 Sufficient copies of the final thesis, incorporating any amendments required by the examiners, shall be submitted in order that copies may be supplied to the University Library, the library of any collaborating establishment and of any relevant affiliated institution. The thesis shall include the following copyright text:

‘This copy has been supplied on the understanding that it is copyright material and that no quotation from the thesis may be published without proper acknowledgement’

and shall be accompanied by the designated form confirming that the contents are identical with the version submitted for examination purposes except where amendments have been made to meet the requirements or at the suggestion of the examiners. In the case of a PhD, the final thesis shall also be accompanied by the British Library doctoral thesis agreement form duly completed

20 How are examiners appointed?

- 22.1 The Director of Studies is responsible for nominating the examiners for approval by the appropriate committee.
- 22.2 A candidate shall be examined by at least two and normally not more than three examiners, of whom at least one shall be an external examiner and one an internal examiner. The appropriate committee shall appoint an independent chair for the viva voce examination
- 22.3 An internal examiner shall be:
- i) a member of staff of the University; or
 - ii) a member of staff of the candidate’s collaborating establishment; or
 - iii) a member of staff of an affiliated institution where the candidate is registered.
- 22.4 In exceptional circumstances, and only with express permission of the Chair of the HD(R)C, a supervisor may be appointed as an examiner. Where a supervisor of a candidate is appointed as an examiner, there shall be two external examiners.
- 22.5 Where the candidate and the internal examiner are both on the permanent staff of the same institution or establishment, a second external examiner shall be appointed. This shall not normally apply if the candidate is on a fixed contract of employment of 12 months or less.
- 22.6 Examiners shall be experienced in research in the general area of the candidate’s thesis and, where practicable, having experience as a specialist in the topic(s) to be examined.
- 22.7 At least one examiner shall normally have experience of examining research degree candidates at the appropriate level.
- 22.8 External examiners shall be independent of the University, collaborating establishment or affiliated institution as appropriate, and shall not have acted previously as the candidate’s supervisor or adviser.
- 22.9 No candidate for a research degree shall act as an examiner.

21 Examination - who does what and when?

- 21.1 In the final year of study and taking account of Regulations under Section 1.13 (Annex VI), the director of studies shall consider possible external examiners.
- 21.2 Not less than three months before the expected date of examination the director of studies shall submit to the Graduate School the designated form(s) proposing the examination arrangements including the details of the proposed examiners for approval by the HD(R)C. Sufficient information to enable the Committee to assess the appropriateness and expertise of the proposed examiners shall be provided.
- 21.3 The Committee shall appoint an independent Chair for the viva voce examination. The independent Chair shall be an experienced researcher and examiner.
- 21.4 The Committee's decision shall be communicated to the director of studies and the relevant school higher degrees tutor.
- 21.5 In exceptional circumstances, the Committee may through the Head of Graduate School act directly to appoint examiners and arrange the examination of a candidate.
- 21.6 Once examination arrangements have been approved and in consultation with the examiners and the Graduate School, the director of studies shall decide the date and logistical arrangements for the examination and notify the Graduate School, the candidate, supervisors examiners and independent chair.
- 21.7 The Graduate School shall arrange for the issue of letters of appointment to the examiners.
- 21.8 The Graduate School shall send a copy of the thesis to each examiner, with the designated form for the examiner's preliminary report, and the Academic Regulations and Procedures relating to research degrees and shall ensure that the examiners are properly briefed on their duties.
- 21.9 Preliminary reports from examiners must be completed and returned to the Graduate School at least 10 working days before the scheduled date of the viva voce examination. The viva voce examination may not take place until the preliminary reports have been received and the Graduate School has confirmed to the director of studies that the viva voce examination may proceed. In exceptional circumstances permission for the viva voce examination to proceed without one or more of the preliminary reports may be granted by the Graduate School.

22 The Viva examination

- 22.1 If all examiners recommend that the viva voce examination be held, or if the thesis has been submitted after further work, the Graduate School shall inform the director of studies that arrangements for the examination may continue. The director of studies shall be responsible for notifying the candidate, the examiners, the independent chair and the supervisors of the arrangements.
- 22.2 A viva voce examination shall normally be held in the UK and in English. In exceptional circumstances the Committee may grant permission for the viva voce examination for an MPhil or PhD to be held abroad.
- 22.3 The supervisors and a representative of the Committee may, with the consent of the candidate, attend the viva voce examination and participate in the discussion with the candidate. The representative of the Committee shall remain whilst the examiners decide on their recommendation on the award but shall not participate in that discussion. The supervisors may not remain whilst the examiners decide on their recommendation on the award.
- 22.4 The conduct of the viva voce examination is at the discretion of the examiners. The range of possible outcomes is governed by Regulation 1.14.2 (Annex VI) for a first examination and Regulation 1.15.3 (Annex VI) for a re-examination. No other outcomes for the viva voce examination are permitted.

23 What decision can examiners make?

- 23.1 Where the examiners are of the opinion that the thesis is so unsatisfactory that no useful purpose would be served by conducting a viva voce examination, they may recommend that the viva voce examination be dispensed with and refer the thesis for further work as part of the first examination. In such cases the examiners shall provide the appropriate committee with written guidance for the candidate concerning the deficiencies of the thesis. The examiners shall not recommend that a candidate fail outright without holding a viva voce examination or other alternative examination
- 23.2 Following the viva voce examination the examiners may recommend that:
- i) the candidate be awarded the degree without correction;
 - ii) the candidate be awarded the degree subject to minor or straightforward amendments being made to the thesis (in which case the examiners shall indicate to the candidate in writing the amendments and corrections which are required, and the internal examiner shall be responsible for checking that the necessary revisions have been made prior to final submission);
 - iii) the candidate be awarded the degree subject to more substantial or less straightforward amendments being made to the thesis (in which case the examiners shall indicate to the candidate in writing the amendments and corrections which are required, and both examiners will be required to check that the necessary amendments have been made prior to final submission);
 - iv) the candidate be permitted to re-submit for the degree and be re-examined, with or without a viva voce examination subject to the appropriate fee;
 - v) in the case of a PhD examination, the candidate be awarded the degree of MPhil subject to the presentation of the thesis being amended as necessary to the satisfaction of the examiners and the thesis satisfying the University's MPhil descriptor outcomes; or
 - vi) the candidate be not awarded the degree and be not permitted to be re-examined.
- 23.3 When the examiners' recommendation is for outcomes ii) and iii) above it is the candidates responsibility to ensure that all recommended corrections are carried out within the specified time period. Failure to do so may result in the University terminating the candidates registration and result in no award being made.
- 23.4 Where the examiners' recommendations are not unanimous, this shall be reported to the Higher Degrees (Research) Committee which may:
- i) uphold a majority recommendation (provided that the majority includes at least one external examiner);
 - ii) uphold the recommendation of the external examiner; or
 - iii) require the appointment of an additional external examiner, once only, to participate in the examination of the candidate as if for the first time

24 What if I have to re-submit?

- 24.1 One re-examination may be permitted by the Higher Degrees (Research) Committee subject to the candidate submitting for re-examination within one calendar year from the date of the latest part of the first examination. Where the viva voce examination has been dispensed with, the re-examination shall take place within one calendar year of the date of this dispensation. The Higher Degrees (Research) Committee may, where there are good reasons, approve an extension of this period. The examiners shall not recommend that a candidate fail outright without holding a viva voce examination or other alternative examination even if their original recommendation, approved by the Higher Degrees (Research) Committee, was for resubmission without a viva voce.
- 24.2 The Higher Degrees (Research) Committee may require that an additional external examiner be appointed for the re-examination.
- 24.3 Following the completion of the re-examination the examiners may recommend in accordance with the provisions set out in Regulation 1.14.2 (Annex VI) excepting that 1.14.2 iv shall not apply to the re-examination. In the case of outcomes 1.14.2 ii) and 1.14.2 iii) the amendments must be carried out in accordance with Regulation 1.14.3.
- 24.4 Where the examiners' recommendations are not unanimous, the Higher Degrees (Research) Committee may:
- i) uphold a majority recommendation (provided that the majority includes at least one external examiner); or
 - ii) uphold the recommendation of the external examiner.
- 24.5 Where the degree is not awarded, the examiners shall prepare an agreed statement of the deficiencies of the thesis and the reason for their recommendation to be forwarded to the candidate by the Graduate School.
- 24.6 A candidate who submits a thesis for re-examination shall be required to pay the appropriate fee.
- 24.7 Re-examination is permitted once only.
- 24.8 In all other respects the re-examination shall be conducted as the first examination

25 Can I appeal against the examiners' decision?

- 25.1 ANY APPLICATION FROM STUDENTS FOR A REVIEW OF THE EXAMINERS' DECISIONS SHOULD BE MADE WITHIN 14 DAYS OF RECEIPT OF THE LETTER INFORMING THE STUDENT OF THE DECISION. THE DETAILED PROCEDURE AND TIMESCALE FOR SUBSEQUENT STAGES IS GIVEN IN THE UNIVERSITY'S RESEARCH DEGREE HANDBOOK (Section 26 below).
- 25.2 The Higher Degrees (Research) Committee shall establish procedures for the consideration of applications for review of decisions of examiners and for their reconsideration by examiners.

- 25.3 The Higher Degrees (Research) Committee shall authorise the Deputy Vice-Chancellor responsible for appeals and the Registrar to determine whether such applications are within the jurisdiction of a review panel.
- 25.4 The following shall be the only grounds for review:
- a) that there has been a material and significant administrative irregularity;
 - b) that the assessments were not conducted in accordance with the Regulations;
 - c) that the student's performance was adversely affected by illness or other valid cause which he or she was unable to divulge before the meeting of the examiners and which could have had a bearing on the examiners' decision;
 - d) that there was demonstrable prejudice on the part of the examiners.
- 25.5 It is not possible to apply for a review on the basis of a disagreement with the academic judgement of the examiners. Academic judgement means assessing the merits of the student's work and reaching a decision on the award based on both the thesis and the viva voce examination.
- 25.6 Complaints by a candidate about his or her supervision must be made before the candidate submits for examination through annual reporting or other available mechanisms. They shall not be permitted as grounds for a review of the examiners' decision unless the candidate can demonstrate that there were exceptional reasons why the complaint could not be reported before the examination.
- 25.7 If the grounds for appeal are deemed within the remit of a review panel the Deputy Vice-Chancellor responsible for appeals shall recommend to the Vice-Chancellor that a review panel be established. The review panel shall be chaired by a nominee of the Vice-Chancellor. There shall be at least two and not more than four other members who shall be staff members of the Academic Board or one of its sub-committees and who have experience of research degree examining and/or research degree examining processes. No member of a review panel shall consider an application in which he or she has an interest. The quorum shall be three members including the chair.
- 25.8 The review panel may determine that:
- a) grounds for review have been established (in which case it shall require the examiners to review their decision in the light of those grounds); or
 - b) the application be rejected.
- 25.9 Examiners who are required to review their original decision shall do so as soon as practicable by whatever means they choose providing the means chosen is fair and equitable given the circumstances of the review. The means of review must be agreed by the Head of Graduate School.
- 25.10 There shall be no appeal against the decision of a review panel.
- 25.11 If, after reconsideration in the circumstances set out in Regulation 1.16.7 (Annex VI) the examiners do not modify their decision the Higher Degrees (Research) Committee may annul that decision if in its opinion proper account has not been taken of the factors specified by the review panel.
- 25.12 Where there has been procedural or other irregularity, or it is not possible to reconvene the examiners, the Higher Degrees (Research) Committee may annul a decision of the examiners without making a prior request for reconsideration.
- 25.13 Where a decision has been annulled the Higher Degrees (Research) Committee shall ask that alternative examiners are appointed through the relevant committee.

26 Application for review of the examiners' decision (Appeal)

- 26.1 ANY APPLICATION FROM STUDENTS FOR A REVIEW OF THE EXAMINERS' DECISIONS SHOULD BE MADE WITHIN 14 DAYS OF RECEIPT OF THE LETTER INFORMING THE STUDENT OF THE DECISION.
- 26.2 The application shall:
- i) be made in writing by the student personally and signed by the student;
 - ii) be addressed to the Registrar in an envelope marked 'Application for Review';
 - iii) be received no later than fourteen working days after the formal notification of the results;
 - iv) give the full name, date of birth and student number of the applicant, an address for reply, details of the award, and the decision of the examiners of which a review is requested;
 - v) state clearly the grounds on which the application is based, identify the issues about which remedy is sought and where appropriate identify the new decision sought;
 - vi) enclose all relevant documentary evidence on which the application relies (for example, medical certificates).
- 26.3 The Registrar and Deputy Vice-Chancellor for Appeals shall determine whether such applications are within the jurisdiction of a review panel according to Regulation 1.16.3 (Annex VI). In doing so they may consult with any other party they deem necessary to make their determination. The determination shall be made, wherever possible, within 14 days of the receipt of the application for review and shall be communicated to the applicant and the Graduate School.
- 26.4 If the decision is that referral to a review panel is warranted the review panel will be established and operate as outlined in 25.7 to 25.10 above (see also Regulations 1.16.6-1.16.9, Annex VI). The review panel will, wherever possible, aim to conclude the review process within 2 months of the decision to review. The applicant, Registrar and Head of Graduate School shall be informed of the review outcome.
- 26.5 The review panel may consult with any other party they deem necessary to make their determination.
- 26.6 Should the outcome of the review need to be considered by the HD(R)C as outlined in Regulations 1.17.1 to 1.17.3 the HD(R)C shall consider the outcome of the review at the next available meeting. In such cases the Graduate School will inform the review applicant of the likely timescale involved and will inform the review applicant of the decision of the committee following their deliberations.
- 26.7 Should any of the review procedures outlined above seem likely to exceed the normal timescales as outlined the applicant shall be informed of the reasons for this by the relevant University authority.
- 26.8 Should the review applicant still feel that their appeal has not been satisfactorily dealt with they may be entitled to take the appeal to the Office of the Independent Adjudicator for Higher Education (www.oiahe.org.uk).

27 The Award

- 27.1 On receipt of a unanimous recommendation from the examiners to award a PhD, MPhil, or of a decision by the Committee where the examiners were not unanimous, and evidence of the candidate's achievement of the necessary taught elements and credits, the Graduate School shall produce a results list confirming the recommendations of the examiners or Committee dated with the date of the recommendation of the examiners or Committee. The results list shall be signed by the Chair of the HD(R)C and the Registrar. This will be passed to the appropriate officer of the University for the production of the certificate.
- 27.2 Following the award of the degree the Graduate School shall lodge one copy of the thesis in the library of the University, one in the library of any collaborating establishment and one in the library of any relevant affiliated institution. Any agreement over confidentiality agreed at the time of submission and affecting this will be honoured.

ANNEX I

Contact List (correct as of December 2008)

NAME	POSITION	TEL NO	E-MAIL
Prof David Timms	Deputy VC (Academic)	875739	d.timms@bathspa.ac.uk
Dr Paul Davies	Head of Graduate School	875470	p.davies@bathspa.ac.uk
Mrs Allison Dagger	Graduate School Administrator	875510	a.dagger@bathspa.ac.uk
Prof Neil Sammells	Dean of Academic Development	875662	n.sammells@bathspa.ac.uk
Prof Tim Middleton	Head of School – English & Creative Studies	875660	t.middleton@bathspa.ac.uk
Mrs Sara Kirkby	Secretary to Head of School – English & Creative Studies	875579	s.kirkby@bathspa.ac.uk
Dr Tracy Brain	School Higher Degrees Tutor – English & Creative Studies	875432	t.brain@bathspa.ac.uk
Prof Fiona Montgomery	Head of School – Historical & Cultural Studies	875662	f.montgomery@bathspa.ac.uk
Dr Elaine Chalus	School Higher Degrees Tutor – Historical & Cultural Studies	875592	e.chalus@bathspa.ac.uk
Prof Steve Ward	Head of School of Education	875514	s.ward@bathspa.ac.uk
Mrs Sue Hawkins	Secretary to Head of School of Education	875549	s.hawkins@bathspa.ac.uk
Prof Dan Davies	School Higher Degrees Tutor, Education	875481	d.davies@bathspa.ac.uk
Mr Allan Dyson	Head of School – Science & The Environment	875479	a.dyson@bathspa.ac.uk
Dr Anil De Sequeira	School Higher Degrees Tutor – Science & The Environment	875737	a.desequeira@bathspa.ac.uk
Mrs Tina Jolly	Secretary to Head of School – Science & The Environment	875585	t.jolly@bathspa.ac.uk
Mr Joe Bennett	Head of School – Music & Performing Arts	875523	j.bennett@bathspa.ac.uk
Dr James Saunders	School Higher Degrees Tutor – Music & Performing Arts	875640	j.saunders@bathspa.ac.uk
To be confirmed	Head of School – Bath School of Art & Design	875442	
Dr Johanna Dahn	School Higher Degrees Tutor – Bath School of Art & Design	875520	j.dahn@bathspa.ac.uk
Ms Julie Green	Secretary to Head of School – Bath School of Art & Design	875475	j.green@bathspa.ac.uk
Prof Robert Mears	Head of School – Social Sciences	875665	r.mears@bathspa.ac.uk
Dr Lance Workman	School Higher Degrees Tutor - Social Sciences	875853	l.workman@bathspa.ac.uk
Prof David Coulby	Head of International Activities	875780	d.coulby@bathspa.ac.uk
Mrs Christine Flenley	Secretary to Head of International Activities	875483	c.flenley@bathspa.ac.uk
Mrs Allison Baud	Head of Library & Information Services	875634	a.baud@bathspa.ac.uk

ANNEX II

LIST OF BSU FORMS AVAILABLE

FROM GRADUATE SCHOOL

	NAME OF FORM	FORM TO BE COMPLETED BY
1	Application for Admission as an Advanced Postgraduate Student	Student
2	Recommendation for Admission of an Advanced Postgraduate Student	Head of School
3	Application to Register for a Research Degree	Student, Director of Studies, Head of School
4	Progression Assessment	Director of Studies
5	Withdrawal of Registration	Student, Director of Studies
6	Transfer of Registration from MPhil/PhD Status	Director of Studies
7	Suspension of Registration	Director of Studies
8	Extension of Period of Registration	Director of Studies
9	Change of Mode of Study	Director of Studies
10	Change in the Programme of Research	Director of Studies
11	Change in the Arrangements for Supervision	Head of School
12	Research Student's Notification of their intention to submit	Student
13	Application for Approval of Examination Arrangements	Director of Studies
14	Research Degree Examiners Short C.V. (to accompany No. 15 above)	Examiners
15	Preliminary Report & Recommendation of an Examiner	Examiners
16	Recommendation of the Examiners (following a viva voce examination)	Examiners
17	Recommendation Report on Amended Thesis	Examiners
18	Recommendation Report on Resubmitted Thesis (No Viva)	Examiners
19	Candidates Declaration Form	Student

These forms are normally available in student and supervisor MINERVA areas.

**NOTE: These forms are also available from the Graduate School Administrator,
Bath Spa University, Newton Park, Newton St Loe, Bath, BA2 9BN
Tel: 01225 875510 E-Mail: a.dagger@bathspa.ac.uk**

**Please contact the Head of Graduate School, Dr Paul Davies (Tel: 01225 875470)
or the Graduate School Administrator (Tel: 01225 875510) if you have
any queries relating to these forms.**

ANNEX III

Research and ethics (non-clinical) at Bath Spa University

Prepared by Dr Paul Davies, Head of Graduate School, BSU
Agreed and adopted by BSU Research, Consultancy and Scholarship Committee on
18th April 2002. Amended by RCSC November 2006.

1. Background

- 1.1 This paper deals only with ethical considerations relating to non-clinical research.
- 1.2 Consideration of research ethics must take into account the legal framework. Relevant legislation includes The Data Protection Act 1984 (and subsequent), The Children's Act 1989 (and subsequent) and various 'privacy' laws. As the legal obligations relating to research ethics are not covered by any single Act, research organisations have generally responded to their obligations via policy documents, codes of practice or similar.
- 1.3 Many higher education institutes have developed a research ethics policy and mechanisms for formally agreeing the arrangements with respect to the gathering and storage of data in projects where ethical considerations justify it. This is usually separate from the formal agreement of the project as a viable project. Good practice, through Codes of Practice, has also been developed by a number of professional bodies, for example by the British Sociological Association and the British Psychological Society. Research active members of those organisations are obliged to adhere to these Codes of Practice *in addition to* any organisational codes.
- 1.4 This document proposes a way in which BSU deals with ethical issues related to non-clinical research. It seeks to ensure that research ethics are considered in *all* research projects undertaken, and to formally scrutinise and agree procedures relating to *individual* defined projects where it is appropriate to do so. It therefore outlines the issues that need consideration and proposes *Principles* (which must be adhered to by all who undertake research -defined fully in Appendix 1), and *Procedures and Practice* (to be followed when specific approval is required – see below).

2. Definition of research subject to ethical considerations and definition of researchers included

- 2.1 For the purposes of this document research means all research that involves human participants as subjects undertaken as a part of formal University activity. The phrase 'human participants' refers to persons used in all types of research. Qualitative based research projects may include personal interviews, questionnaires, interviews, focus groups, observation of groups *etc.* Quantitative and experimental research may include questionnaires, surveys, trials *etc.*
- 2.2 Research included is that undertaken by:
 - postgraduate students undertaking research as part (or all) of a postgraduate qualification whether taught (PGCert/PGDip/Masters) or by research (MPhil/PhD)
 - Directors of Studies and supervisors of students mentioned in 2.2.1 (above)
 - all staff doing personal research, collaborative research with outside organisations, contract research and consultancy
 - all staff undertaking research with students or with other members of staff

3. Issues and Principles

3.1 All research involving human participants must consider the following issues from the inception of the research project. Researchers should be in a position to justify the decisions undertaken as a result of those considerations *should it be required*:

- the value of the research
- informed consent
- openness and honesty
- right to withdraw without penalty
- confidentiality and anonymity
- protection from harm
- briefing and debriefing
- reimbursements, payments and rewards
- suitability/experience of researcher
- ethics standards of external bodies and institutions
- reporting on ethical issues throughout
- research for clients/consultants
- intended dissemination

3.2 Some of the above issues require very careful consideration. All are discussed in detail in Appendix 1 where the *Principles* governing such considerations are laid out.

3.3 Ethically responsible conduct is part of the University's principles of good research practice (available as a separate document). It states that deliberate, reckless or negligent research misconduct may lead to disciplinary action via the University's disciplinary procedure. It is important to note that honest errors do not constitute misconduct.

4. Research for which approval is necessary

4.1 If the research project involves either:

- Deceptive research (defined below)
- or
- Covert research where data are recorded in a manner in which anonymity of participants cannot be assured, or where when the research involves collection of sensitive personal material (including matters relating to behaviour), or where the participants are part of a vulnerable group (defined below)

approval must be sought through the procedures detailed below.

4.2 *Deceptive research* is that which is undertaken when the investigator deliberately conceals or significantly misrepresents his or herself, the true nature of the research, or any other significant aspect of the research (see Appendix 2)

4.3 *Vulnerable group* includes any person(s) who may be precluded from giving *informed* consent. Note that this does not necessarily include all groups whose consent is given by parents or by those in *loco parentis*. It should additionally be noted that even in those circumstances the 'real' consent of those individuals under study should also be sought wherever possible (see Appendix 1, informed consent).

4.4 No specific approval is needed. Approval for research involving human participants not covered within the categories detailed in Section 4.1, although all should be sought through the school mechanisms agreed by AQSC on 6th October 2006. All projects must adhere to *Principles*.

4.5 If there is any doubt as to whether a particular research project needs approval, advice should be sought from the relevant academic manager.

5. Procedures and Practice for approving research

5.1 Those projects requiring approval under 4 above will be required to seek such approval through the University's Research and Scholarship Committee. Advice on submitting projects requiring approval should be sought from the Chair of that Committee at an early stage in the formulation of the research proposal. Under no circumstances should such research be started prior to approval being given.

Appendix 1

- Principles

The value of the research

The value of the research, in terms of its original contribution to knowledge, should be made apparent to all involved wherever possible. Obviously in the case of deceptive or some covert research this does not apply to participants, but needs to be justified through the procedures outlined above.

Informed consent

Informed consent by individuals, guardians or individuals acting *in loco parentis* can be complicated (particularly when children are involved). Except in cases where free and informed consent is thought not be warranted (ethically acceptable deceptive and some forms of covert research). The default position is that free and informed consent should normally be gained in writing from the participant(s) and/or their properly authorised representative(s). In exceptional cases there may be reasons why the participant(s) or representative(s) wish not to sign consent themselves. In such cases the researcher should record consent. Even where an authorised representative gives consent, the 'real' consent of the participant should also be obtained (see also right to withdraw).

The word *informed* is important. In order to be informed prior to consenting the participant should have an understanding of project aims, objectives, any potential benefits or harm that may arise and likely outcome of the research (e.g. policy documents, publications).

Consent given does not oblige the participant to carry on through the entire research as originally requested in any formal or legalistic sense. It should, however, be made clear to participants what commitment they are consenting to, and also that by consenting they are in effect consenting to carry through the agreement.

The secondary analysis of data through access from their 'gatekeepers' does not negate the researchers involved from considering issues relating to consent except where the gatekeeper can act in law as the consentor (e.g. is a parent or guardian).

Openness and honesty

As a default research should be carried out in an honest and open manner, with participants fully and honestly informed about the research rationale, method(s) and outcomes (see informed consent above). Some types of research (deceptive and some forms of covert research) may be exceptions and must be agreed (see above).

Right to withdraw without penalty

It should be made apparent to all potential participants, as part of the informed consent process, that they are free to withdraw without penalty from the research project, even if they have received inducements or payments. They may also request that consent be withdrawn retrospectively and that any accrued data regarding them be destroyed.

Those whose consent has been given through a surrogate can themselves request to withdraw from the research, a request that must be honoured.

Confidentiality and anonymity

Privacy is normal practice in research and law. Confidentiality and anonymity becomes a real issue when data is recorded on computer (e.g. named responses to questionnaires) or when named organisations are reported upon where individual roles cannot be hidden (e.g. in action research projects). Data should be coded and stored in a manner that does not allow direct recognition of individuals within the stored data set(s) by anyone other than the researcher or research team. Data should not normally be shared with others without the consent of the subject or their surrogate. Plans to publish research should therefore be made clear at the outset. If it is suspected (due to the nature or context of the research work) that anonymity cannot be guaranteed even if data are coded etc. then this limitation should be made aware to the participants.

Those who court publicity or are active in the public-eye (speakers at public events, celebrities etc) are not considered subject to privacy/anonymity rights as outlined above.

Protection from harm

Researchers have a responsibility to ensure that the physical, social and psychological well-being of research participants is not affected in an adverse manner by the research. The relationship should be one of mutual respect and based, wherever possible, on trust. Undue risk is considered to be that above and beyond risks run in the normal everyday life of the participant. Particular care is needed when the participants are from vulnerable and/or powerless groups. The responsibility for protection from harm does not necessarily end with the research project; it may extend to the life of the data set. Particular care needs to be taken when discussing the results of research projects with those *in loco parentis* or other consenting positions, since such discussion may prejudice attitudes toward the participants.

Briefing and debriefing

As well as being informed about the research, participants should be adequately briefed as to how the research is to be carried out from inception to dissemination (see informed consent above). Wherever possible participants should also receive information relating to the outcomes of the research. Sometimes, for example in some forms of laboratory controlled psychology research, debriefing may involve remedial action to negate post-participatory effects, for example where negative moods have been induced.

Reimbursements, payments and rewards

Any arrangements should be clearly articulated to participants, in writing wherever possible. If staged or progressive payments are involved these should be clearly articulated from the beginning. Withdrawal of the participant between stages does not negate the obligation to reimburse the participant for completed stages. Reimbursements, payments and rewards may not be used to induce participants to take undue risk.

Suitability/experience of researcher

Investigators should have the relevant academic/professional competence to carry out the research project. In particular they (meaning either an individual in terms of an individually-led project, or the 'team' in the case of joint research) should have experience of dealing with the ethical dimensions of the research.

Ethics standards of external bodies and institutions

Where external bodies and institutions (either those funding the research, or professional bodies to which the researcher belongs) have their own ethical codes these must be followed. If there is any conflict with BSU principles and procedures these should be identified as soon as possible and the relevant academic managers notified.

Reporting on ethical issues throughout

If there are interim reports, whether verbal or written, ethical issues should be acknowledged and discussed throughout.

Research for clients/consultants

Where it is necessary, ethical positions should be clarified with external clients and organisations prior to the research beginning. Agreement should preferably be in writing. It is particularly important to establish data ownership rights and rights to publish (on both sides), since this establishes future 'gatekeepers'. Care should be taken not to compromise the BSU ethics guidelines and/or professional codes.

Intended dissemination

Should be relayed to the participant as part of the consent process. Wherever possible summaries of research findings (preferably in non-technical language) should be relayed to participants.

APPENDIX 2

Deceptive research	Research in which the investigator deliberately misrepresents his/her self, the true nature of the research and/or any other significant characteristic. Deceptive research may be a necessity, though as part of the procedures established above the investigator(s) must justify why deception is required.
Covert research	Research gathering information about participants (in whatever form) without the participant's knowledge or consent. Note that this is not always problematic, the gaining of 'naturalistic' data of 'normal' behaviour may not be unethical, unless it infringes on some of the principles outlined above. Covertly observing people at public meetings or events is also normally not considered unethical. Key issues of anonymity and/or recoding of sensitive data must still be considered.
Gatekeeper	An individual or organisation that controls access to data, or has legal rights with respect to the giving of permission to obtain data. The consent of a gatekeeper does not, in itself, constitute informed consent on behalf of the participants unless the gatekeeper also acts in law as the consenting authority for the participant.

Appendix 3

– Acknowledgements and further sources of information

Acknowledgements

This document has drawn heavily on ethical guidelines produced by Anglia Polytechnic University (APU), The University of Gloucester, and codes of practice produced by the British Psychological Association and the British Sociological Association. All are duly acknowledged.

Further information can be found

The British Psychological Society ethical code can be found at:

<http://www.bps.org.uk/documents/Code.pdf>

The British Sociological Code can be found at:

<http://www.britisoc.co.uk/equality>

The Economic and Social research Council ethical policies can be found at:

<http://www.esrc.ac.uk/ESRCInfoCentre/opportunities/research%5Fethics%5Fframework/>

All of these discuss ethics in their wider context as well as being discipline specific

ANNEX IV

Research at BSU – principles of good practice

Prepared by Dr Paul Davies, Head of Graduate School, BSU
Agreed and adopted by BSU Research, Consultancy and Scholarship Committee on 25th June 2002.
Amended by RCSC November 2006.

1. Introduction

All forms of research need to have the confidence of the public, the academic community, the funders of research, and regulatory departments or organisations. In order to do so both principles of good practice and of definitions of misconduct need to be specified.

These guidelines apply to all members of the institution involved in research, including staff, postgraduate and undergraduate students. It also applies to those who are not members of the institution, but who are conducting research on the institution's premises or using the institution's research facilities. They are based on guidelines produced by The Director General of the Research Councils and the Chief Executives of the UK Research Councils (December 1998) and the HEFCE (Higher Education Funding Council for England) sponsored Active Risk Management in Higher Education (ARMED) Project Unit on research misconduct (December 2001).

2. All research at BSU is expected to be carried out:

- with full respect of other researchers rights and achievements
- with full respect to the rights of participants in research projects
- in an ethically appropriate manner

3. Specifically, the following principles of good conduct should be followed:

Researchers are expected to

- maintain professional standards
- be familiar with guidance on best research practice, for example in relation to matters of policy, ethics, finance and safety
- observe legal and ethical requirements laid down by the institution or other properly appointed bodies involved in the research field
- recognise the importance of good leadership and co-operation in research groups
- take special account of the needs of young researchers
- document results and keep secure primary data
- question findings
- attribute honestly the contribution of others
- take steps to ensure the safety of all those associated with the research
- report any conflict of interest, actual or prospective, to the appropriate person

4. Research misconduct is recognised as including the following, whether deliberate, reckless or negligent:

- failure to obtain appropriate permission to conduct research
- deception in relation to research proposals
- unethical behaviour in the conduct of research, for example in relation to research subjects
- unauthorised use of information which was acquired confidentially
- deviation from good research practice, where this results in unreasonable risk of harm to humans, other animals or the environment
- fabrication, falsification or corruption of research data

- distortion of research outcomes, by distortion or omission of data that do not fit expected results
- dishonest misinterpretation of results
- publication of data known or believed to be false or misleading
- plagiarism, or dishonest use of unacknowledged sources
- misquotation or misrepresentation of other authors
- inappropriate attribution of authorship
- fraud or other misuse of research funds or research equipment
- attempting, planning or conspiring to be involved in research misconduct
- inciting others to be involved in research misconduct
- collusion in or concealment of research misconduct by others

It is important to note that honest errors do not constitute misconduct.

Fraud or other misuse of research funds or research equipment is dealt with under separate financial regulations and Code of Conduct.

BSU policy on ethical practice in research is contained within a separate document *Research and ethics (non-clinical) at Bath Spa University*.

5. Procedures in the case of suspected misconduct

The University has a responsibility to investigate allegations of research misconduct fully and in good time. It also has responsibility to protect researchers from malicious, mischievous, or frivolous allegations.

Those who raise concerns in good faith will not be penalized for doing so under the Public Interest and Disclosure Act 1998 and the second report of the Nolan Committee into Standards in Public Life 1996, both of which are recognized by the University.

In any case of suspected misconduct the principle of the public presumption of innocence is assumed until all investigations are complete.

a) Procedures to be followed in cases that are raised as a matter of internal concern (i.e. By BSU staff or students) consist:

In the case of staff

Investigatory and disciplinary procedures are established within the staff employment handbook.

In the case of Students

Investigatory and disciplinary procedures are established within the University's academic and student regulations.

In the case of non-members using the institutions facilities

- i) Witnessed or suspected cases of misconduct should be reported in writing, with any relevant evidence, to the appropriate resource manager, the Head of School or Department/Section concerned.
- ii) The Head of School shall instigate an appropriate investigation into the allegations based upon the University's own staff procedures and, if the allegations are proven, determine whether the misconduct warrants that the right to use the University's facilities should be withdrawn.

b) Procedures to be followed in such cases that are raised by external persons or bodies (Complaints by members of the public against the University, its staff or students):

Initial complaint should be made through the University's Complaints procedure. In the first instance, complaints should be referred to:

Complaints Officer,
Bath Spa University,
Newton St Loe,
BATH BA2 9BN

Tel: 01225 875875

Fax: 01225 875496

ANNEX V

Research and the Data Protection Act (DPA) 1998 – a summary of JISC and other guidance

1. Introduction

The Data Protection Act (DPA) 1998 has significant consequences for HE institutions, which collect a vast amount of personal data every year: staff records, names and addresses of those requesting prospectuses, examination marks, residence and catering information, references, information from applications, fee collection and other administrative functions, as well as some types of research data. This document is only concerned with research data. Please note that reading this document does not exempt the reader from other BSU requirements regarding familiarisation with the DPA (see <http://www.bathspa.ac.uk/departments/procedures-and-regulations/data-protection/>).

2. The 8 Data Protection Principles

BSU use of information is governed by the principles (below in italics) of the Data Protection Act, 1998 (the 1998 Act). Under the 1998 Act, personal data shall:

1 & 2. *Be obtained for a specified and lawful purpose and shall not be processed in any manner incompatible with that purpose:*

Data should not be processed unless

- At least one of the conditions in Schedule 2 of the 1998 Act is met, and
- In the case of sensitive personal data, at least one of the conditions in Schedule 3 of the 1998 Act is also met

It is not possible to reproduce Schedules 2 and 3 in full here, but most importantly Schedule 2 asks that the subject has consented to the processing of their data, and Schedule 3 relates to the explicit consent (or other conditions) required for the processing of sensitive data (defined below). This synopsis of Schedules 2 & 3 and sensitive data should not be taken as definitive; readers should refer to the Act itself and the guidance provided by the Information Commissioner at <http://www.dataprotection.gov.uk/dpr/dpdoc.nsf>.

3. *Be adequate, relevant and not excessive for those purposes*

4. *Be accurate and kept up to date*

5. *Be kept for no longer than is necessary for that purpose*

6. *Be processed in accordance with the data subject's rights*

7. *Be kept safe from unauthorised access, accidental loss or destruction*

8. *Not be transferred to a country outside the European Economic Area unless that country has equivalent levels of protection for personal data*

also see <http://www.bathspa.ac.uk/departments/procedures-and-regulations/data-protection/dp-policy.htm>

3. Key Definitions in the 1998 Act

(also see - <http://www.bathspa.ac.uk/departments/procedures-and-regulations/data-protection/definitions.asp>)

Data

'Data' is any information:

- Stored in a form capable of being processed by computer or other automatic equipment (such as most computer files, including word processor, database and spreadsheet files)
- Recorded in any form for later processing by computer or other automatic equipment (such as information collected from registration forms; CCTV pictures)
- Stored as part of a relevant filing system or intended to be included in one in the future (including card files or filing cabinets structured by name, address or other identifier; Rolodex; etc)
- Not covered by the above but part of an accessible record under s.68 DPA 1998 (such as a set of notes kept by a counsellor employed by the University).

Personal data

'Personal data' are data that relate to a living individual who can be identified from that information, or from that data and other information in the possession of BSU. These include any expression of opinion about the individual and of the intentions of BSU in respect of that individual.

Sensitive personal data

The 1998 Act distinguishes between 'ordinary personal data' such as name, address and telephone number and 'sensitive personal data' including information relating to racial or ethnic origin, political opinions, religious beliefs, trade union membership, health, sex life and criminal convictions. Under the Act the processing of such data is subject to much stricter conditions.

Data controller

The 'data controller' is Bath Spa University, and is so identified in the University's entry in the Data Protection Register.

Data Protection Officer

The 'Data Protection Officer' is the nominated officer in the University's entry in the Data Protection Register. He or she is nominated by the Director and is responsible to the Director and to the Board of Governors for the implementation of the University policies relating to the Data Protection Act and related Acts. The responsibilities of the Data Protection Officer are defined (see <http://www.bathspa.ac.uk/departments/procedures-and-regulations/data-protection/dp-resp-dpo.asp>)

Data subject

A 'data subject' is any living individual who is the subject of personal data.

Data subject access

'Data subject access' is the right of an individual to access personal data relating to him or her which is held by the University.

Data owner

A 'data owner' is a person authorised manage the processing of data on behalf of the University. Data Owners are named in a list maintained by the Data Protection Officer and published on the Computer Services website.

Processing

'Processing' includes technical operations on data, such as organisation, retrieval, disclosure, and deletion; but also obtaining and recording data; the retrieval, consultation or use of data; and the disclosure or otherwise making available of data.

4. Use of Personal Data in Research

As under the 1984 Act, the 1998 Act provides certain exemptions for "research purposes" including statistical or historical purposes. s.33 of the 1998 Act exempts personal data used for research purposes from certain of the data protection rules. If the purpose of the research processing is not measures or decisions targeted at particular individuals and it does not cause distress or damage to a data subject, it is exempt from:

- the second data protection principle, meaning that personal data can be processed for purposes other than for which they were originally obtained;
- the fifth data protection principle, meaning that personal data can be held indefinitely;
- the data subject's right of access to his personal data (s.7) where the data is processed for research purposes and the results do not identify data subjects.

Section 33 does NOT give a blanket exemption from all the Data Protection Principles to data provided and/or used for research purposes. Researchers wishing to use personal data should be aware that most of the Data Protection Principles will still apply (notably the requirement to keep data secure) and there should be an assessment of the legality of processing on each occasion data are provided for research purposes. Periodic assessment of the nature of data protection procedures and practices in research areas should be carried out.

The *Data Protection (Processing of Sensitive Personal Data) Order 2000* para.9 provides that processing in the course of maintaining archives for research purposes is permissible where the sensitive personal data are not used to take decisions about any person without their consent and no substantial damage or distress is caused to any person by the keeping of those data.

HE and FE institutions should ensure that:

- employees and students are aware that, while some exemptions are granted for the use of personal data for research purposes, the majority of the Data Protection Principles must still be conformed to – there is no blanket exemption.
- in all circumstances where personal data is to be used for research purposes that there has been an adequate review, in advance of processing, to ensure that the requirements of the 1998 Act can be adhered to.
- data protection [procedures and practices in research areas are monitored periodically to ensure adequate compliance.
- a suitable mechanism is in place to ensure that data subjects whose personal data is to be, or has been, processed can meaningfully exercise their right to object to the processing of that data on the grounds that it would cause them, or has caused them, significant damage or distress
- particular care is taken when the processing involves sensitive personal data.

HE and FE institutions are advised always to provide as clear guidance as possible to data subjects whose personal data will be used in research as to why the data is being collected, and the purposes for which it will be used.

5. Acknowledgements and further information

This document uses JISC (Joint Information Systems Committee) advice to HEI's as available at:

http://www.jisc.ac.uk/pub99/sm09_data_prot.html

It has also used information freely available to HEIs from the University of Lancaster

<http://www.dpa.lancs.ac.uk/approved/research.htm>

and information on the 8 principles written by Dr Susan Atkin for The University Of Essex (reproduced with permission) from

<http://www2.essex.ac.uk/dataprotection/data.htm>

Comprehensive guidance on the law can be found at:

<http://www.dataprotection.gov.uk/>

More detailed BSU information on Data Protection can be found at

<http://www.bathspa.ac.uk/departments/procedures-and-regulations/data-protection/>

ANNEX VI

Bath Spa University Research Degree Regulations (adopted by Academic Board, October 2008)

RESEARCH AWARDS

1 SUPERVISED RESEARCH DEGREES

1.1 MASTER OF PHILOSOPHY (MPhil), DOCTOR OF PHILOSOPHY (PhD), PROFESSIONAL DOCTORATE, PROFESSIONAL PRACTICE DOCTORATE

- 1.1.1 The University may award the degrees of Master of Philosophy (MPhil) or Doctor of Philosophy (PhD) to registered candidates who successfully complete approved taught units at level H or above and/or approved supervised research.
- 1.1.2 The University may award an appropriately titled professional doctorate or professional practice doctorate to registered candidates who successfully complete an approved programme requiring completion of taught elements and supervised research of relevance and application to a defined area of professional practice.
- 1.1.3 Research may be proposed in any field of study capable of being supervised provided that the proposal is capable of leading to scholarly work and to its presentation in a written thesis for assessment by appropriate examiners. The written thesis may be supplemented by material in other than written form as set out in 1.4.3 (below). For the professional doctorate or professional practice doctorate, the research proposal must be capable of research-based enquiry involving the understanding or application and dissemination of knowledge within a defined professional context and the acquisition and development of skills in the chosen professional field.
- 1.1.4 All research proposals shall be considered for research degree registration on their academic merits without reference to the concerns or interests of any funding body linked to the proposal.
- 1.1.5 Applicants may apply to register full-time or part-time for programmes leading to the award of Master of Philosophy, Doctor of Philosophy, Professional Doctorate, or Professional Practice Doctorate. Unless otherwise specified all applications should be submitted to the University's Graduate School.
- 1.1.6 Candidates accepted for registration for the degree of Master of Philosophy or Doctor of Philosophy shall normally hold a minimum of a first or upper second class honours degree of a UK university or of the CNAAB, or of a university of comparable standard outside the UK.
- 1.1.7 Candidates accepted for registration for a professional doctorate or a professional practice doctorate shall in addition to the requirements specified in 1.1.6, have such experience of relevant professional practice as determined by the regulations for the named professional doctorate or professional practice doctorate.
- 1.1.8 Candidates for professional doctorates and professional practice doctorates may also be required to demonstrate that they have access to a suitable professional context in which to conduct the research and advanced study, as may be specified in the regulations for the award.

1.2 COLLABORATION WITH OTHER BODIES

- 1.2.1 The University encourages co-operation with industrial, commercial, professional or research establishments for the purposes of research leading to research degree awards.

1.3 REGISTRATION, SUPERVISION AND EXAMINATION ARRANGEMENTS

- 1.3.1 The Academic Board shall delegate its powers to an appropriate committee or committees to approve procedures with respect to the registration, supervision and examination arrangements of research students. The delegated committee is currently the Higher Degrees (Research) Committee.
- 1.3.2 The Higher Degrees (Research) Committee shall publicise detail of the relevant procedures in the University's Research Degree Handbook.
- 1.3.3 Confirmation of Registration shall be subject to approval by the Higher Degrees (Research) Committee of:
- i) the suitability of the candidate to undertake research and, for candidates for the professional doctorate or professional practice doctorate, for applying such research to a defined area of professional practice;
 - ii) the candidate's command of the English language sufficient to complete the programme of work satisfactorily;
 - iii) the research proposal; and
 - iv) the supervision arrangements and research facilities
- 1.3.4 A candidate shall pay the fees determined by the University

1.4 NATURE OF RESEARCH

- 1.4.1 A candidate shall pursue approved research appropriate to the level and nature of the award.
- 1.4.2 A candidate may undertake research in which the principal focus is the preparation of a scholarly edition of one or more texts, works of fiction, musical or choreographic works, or other original artefacts.
- 1.4.3 A candidate may undertake research in which the candidate's own creative work forms, as a point of origin or reference, a significant part of the intellectual enquiry where:
- i) such creative work shall have been undertaken as part of the registered research programme. In such cases, the presentation and submission may in part be other than in written form;
 - ii) the creative work is clearly presented in relation to the argument of a thesis written by the candidate and set in its relevant theoretical, historical, critical or design context;
 - iii) the final submission is accompanied by some permanent record (for example, video, photographic record, musical score, or diagrammatic representation) of the creative work and bound with the thesis where practicable;
 - iv) the application for registration shall set out the form of the candidate's intended submission and of the proposed methods of assessment.

1.5 REQUIRED STUDIES

- 1.5.1 Candidates are required to complete a programme of related studies to complement research which shall include taught modules or units. Candidates are required to achieve the minimum credits for taught elements as are specified for the award. Candidates may be exempted from this requirement if they can demonstrate equivalent prior experience and/or learning (AP(E)L).

- 1.5.2 Where the programme of related studies includes approved studies leading to another taught award and a candidate is registered for that award and fulfils all its requirements, he or she may be recommended for that award in addition to the degree of MPhil or PhD.

1.6 THESIS

- 1.6.1 The language of the thesis shall normally be English. Permission to present the thesis in another language shall normally be sought at the time of the application for registration and shall normally only be given if the subject matter of the thesis involves substantial language and related studies and if appropriate supervision and examination arrangements are available.

- 1.6.2 **For the MPhil and PhD** the maximum word count for the thesis is:

i) For a PhD in science, art and design practice, and practice-based music and performing arts subject areas: 40,000 words

ii) For an MPhil in science, art and design practice and practice-based music and performing arts subject areas: 20,000 words

iii) For a PhD in social science, humanities and education, history and theory of art and design, and history and theory of music and performing arts: 80,000 words

iv) For an MPhil in social science, humanities and education, history and theory of art and design, and history and theory of music and performing arts: 40,000 words

Consistent with the above, where the thesis accompanies creative and /or practice-based material (eg novel, book of poetry, musical composition(s) or other art works) the written thesis should normally be in the range:

a) 20,000-40,000 words for a PhD

b) 12,000-20,000 words for an MPhil

For the Professional/Professional Practice Doctorate the maximum word length will be determined as part of the formal approval of each named award, with due regard given to the balance of teaching and research components of that award. However, the maximum *must not exceed 35,000 words* for science, art and design practice, and practice-based music and performing arts subject areas, and *must not exceed 60,000 words* in social science, humanities and education, history and theory of art and design, and history and theory of music and performing arts.

Note that appendices and/or ancillary data are excluded from the word count. Where footnotes or endnotes are intrinsic to the thesis these should be included as part of the word count. Where footnotes or endnotes are only used for referencing purposes these shall not be included in the word count.

- 1.6.3 An application from the candidate for permission for approval for the thesis to remain confidential for a period of time after completion of the work shall normally be made at the time of confirmation of registration.
- 1.6.4 The University may at the time of confirmation of registration determine that a thesis should remain confidential.
- 1.6.5 Where the need for confidentiality emerges at a subsequent stage, a special application for the thesis to remain confidential after submission shall be made immediately.
- 1.6.6 The approved period of confidentiality shall normally not exceed two years from the date of the viva voce examination.
- 1.6.7 The copies of the thesis submitted for examination shall remain the property of the University.

1.7 REGISTRATION PERIOD AND CREDIT REQUIREMENTS

- 1.7.1 The normal minimum and maximum periods of registration and credit requirements shall be as follows:

Award	Minimum registration	Maximum registration	Minimum credit requirement
MPhil: full time part time	18 months 30 months	36 months 48 months	60 (of which at least 40 at FHEQ Level 7)*
PhD: full time part time	24 months 36 months	60 months 84 months	60 (of which at least 40 at FHEQ Level 7)*
Professional/Professional Practice PhD: full time part time	36 months 48 months	60 months 72 months	120-270 at FHEQ Level 7*

*FHEQ Level 7 was previously referred to as 'Level M' denoting study at Masters Level.

The viva examination should normally take place before the stated maximum registration period.

- 1.7.2 Where a candidate applies to change from full-time to part-time study or vice versa, the minimum and maximum registration periods shall be determined by the Higher Degrees (Research) Committee at the time of change within the normal limits.
- 1.7.3 Where the candidate is prevented, by ill-health or good cause accepted by the Higher Degrees (Research) Committee, from making progress with the research, the registration may be suspended, normally for not more than one year at a time.
- 1.7.4 The Higher Degrees (Research) Committee may exceptionally extend the period of registration beyond the normal maximum for one year at a time.
- 1.7.5 The Higher Degrees (Research) Committee may exceptionally permit a candidate to submit a thesis for examination within the minimum period of registration for the award.

1.8 SUPERVISION

- 1.8.1 For each research degree candidate the Higher Degrees (Research) Committee shall approve the appointment of at least two supervisors, one of whom shall be designated Director of Studies. At least one supervisor shall normally have had experience of supervising candidates to the successful completion of a UK research degree at the appropriate level. In the case of a doctoral registration, one of the supervisors shall normally have successfully supervised at doctorate level.
- 1.8.2 No candidate for a research degree may act as a Director of Studies. A candidate for a PhD by publication may be a supervisor where the Higher Degrees (Research) Committee considers that he or she has completed sufficient publications to demonstrate sufficient experience of research.
- 1.8.3 It is a normal expectation that a research degree supervisor at the University will not exceed a maximum supervisory load of 6 current research students by headcount or 4 FTE, whichever is the greater. Any exception to this maximum will need to be justified by the relevant Head of School who will need to provide evidence to The Higher Degrees (Research) Committee that the overall workload and/or contract of the supervisor concerned allow(s) such an exception to be made. It should be noted that the word 'current' as defined above refers to students who are registered and who have not yet submitted their thesis for examination

1.9 CONFIRMATION OF REGISTRATION FOR MASTER OF PHILOSOPHY (MPhil) AND DOCTOR OF PHILOSOPHY (PhD)

- 1.9.1 The Higher Degrees (Research) Committee shall approve requirements and procedures to provide for the confirmation or amendment of a student's registration. Such confirmation or amendment should normally take place within 3 months (FT) or 6 months (PT) after initial registration. If successful confirmation or amendment of registration is not achieved within 12 months (FT) or

18 months (PT) of initial registration the committee shall ask that the student's situation be thoroughly reviewed.

- 1.9.2 A confirmation letter shall outline the requirements of a progression examination and the approximate date of the initial progression examination.
- 1.9.3 A candidate who is registered for the degree of PhD and who is unable to complete the approved programme of work may, at any time prior to the submission of the thesis for examination, apply for transfer of registration to the MPhil.

1.10 PROGRESSION EXAMINATION AND ANNUAL REPORTING

- 1.10.1 Candidates shall undergo a progression examination at an appropriate point (normally 12 months full-time or *pro rata* part-time) to determine whether satisfactory progress on the research proposal is being maintained. MPhil candidates may request that this progression assessment be undertaken with the possibility of transferring to PhD status.
- 1.10.2 All candidates shall submit an annual report on the progress of their research to the relevant school committee. For professional or professional practice doctoral candidates the annual reporting regulation will only apply to the research stages of their studies. Supervisors shall also submit a separate annual report.

1.11 FORMAT OF THE THESIS

- 1.11.1 The format of the thesis shall adhere to the detailed requirements as specified by the Higher Degrees (Research) Committee and set out in the University's Research Degree Handbook.

1.12 EXAMINATION OF THE THESIS

- 1.12.1 All thesis examination procedures shall require approval by the Higher Degrees (Research) Committee.
- 1.12.2 The examination for the MPhil, PhD and for the thesis of the professional doctorate or professional practice doctorate shall have two stages:
 - a) the candidate's submission of the thesis and the examiners' independent preliminary assessment of it; and
 - b) the defence of the thesis by the candidate by viva voce or approved alternative examination.
- 1.12.3 Subject to the satisfactory completion of required taught elements and of the minimum period of registration, final submission of the thesis for examination shall be at the sole discretion of the candidate.
- 1.12.4 Candidates who are required to have completed taught elements before proceeding to examination of the thesis shall not be permitted to be examined on their thesis until they have satisfactorily completed the taught elements. The results of assessed taught elements shall be communicated to the examiners of the thesis by arrangements approved by the Higher Degrees (Research) Committee.
- 1.12.5 A candidate shall normally be examined by viva voce examination on the research covered by the thesis and on the field of study in which the research lies. Where for reasons of sickness, disability or other valid cause the Higher Degrees (Research) Committee is satisfied that a candidate would be under serious disadvantage if required to undergo a viva voce examination, it may approve an alternative form of examination. Such approval shall not be given solely on the grounds that the candidate's knowledge of the language in which the thesis is presented is inadequate.

1.12.6 The decision to recommend the award shall be confirmed by the Higher Degrees (Research) Committee on the basis of the reports and recommendation(s) of the examiners following the viva voce or alternative examination and confirmation to the committee that all taught elements have been satisfactorily completed.

1.13 EXAMINERS FOR THE THESIS

1.13.1 The Director of Studies is responsible for nominating the examiners for approval by the Higher Degrees (Research) Committee. The Director of Studies is also responsible for nominating an independent chair for the viva examination.

1.13.2 A candidate shall be examined by at least two and normally not more than three examiners, of whom at least one shall be an external examiner and one an internal examiner. An independent chair will chair the viva voce examination but will not act as a further examiner.

1.13.3 An internal examiner shall be:

- i) a member of staff of the University; or
- ii) a member of staff of the candidate's collaborating establishment; or
- iii) a member of staff of an affiliated institution where the candidate is registered.

In all cases the internal examiner shall confirm to the committee that they have not had any input into the production of the thesis through supervisory or other advisory means or as a member of the progression assessment panel.

1.13.4 In exceptional circumstances, and only with express permission of the Chair of the Higher Degrees (Research) Committee, a supervisor may be appointed as an examiner. Where a supervisor of a candidate is appointed as an examiner, there shall be two external examiners.

1.13.5 Where the candidate and the internal examiner are both on the permanent staff of the same institution or establishment, a second external examiner shall be appointed. This shall not normally apply if the candidate is on a fixed contract of employment of 12 months or less.

1.13.6 Examiners shall be experienced in research in the general area of the candidate's thesis and, where practicable, having experience as a specialist in the topic(s) to be examined.

1.13.7 At least one examiner shall normally have experience of examining research degree candidates at the appropriate level. It is a normal expectation that the examining team will together have an aggregate experience of 3 external examinations. Where this is not the case the Director of Studies will be responsible for providing the Higher Degrees (Research) Committee with a cover paper to the submitted examiner proposals explaining why this requirement cannot be met.

1.13.8 External examiners shall be independent of the University, collaborating establishment or affiliated institution as appropriate, and shall not have acted previously as the candidate's supervisor, advisor or progression panel member.

1.13.9 No candidate for a research degree shall act as an examiner.

1.14 EXAMINERS' RECOMMENDATIONS

1.14.1 Where the examiners are of the opinion that the thesis is so unsatisfactory that no useful purpose would be served by conducting a viva voce examination, they may recommend that the viva voce examination be dispensed with and refer the thesis for further work as part of the first examination. In such cases the examiners shall provide the Chair of the Higher Degrees (Research) Committee with written guidance for the candidate concerning the deficiencies of the thesis and the reason for their recommendation to be forwarded to the candidate by the Graduate School. The examiners shall not recommend that a candidate fail outright without holding a viva voce examination or other alternative examination.

1.14.2 Following the viva voce examination the examiners may recommend that:

- i) the candidate be awarded the degree without correction;
- ii) the candidate be awarded the degree subject to minor or straightforward amendments being made to the thesis (in which case the examiners shall indicate to the candidate in writing the amendments and corrections which are required, and the internal examiner shall be responsible for checking that the necessary revisions have been made prior to final submission);
- iii) the candidate be awarded the degree subject to more substantial or less straightforward amendments being made to the thesis (in which case the examiners shall indicate to the candidate in writing the amendments and corrections which are required, and both examiners will be required to check that the necessary amendments have been made prior to final submission);
- iv) the candidate be permitted to re-submit for the degree and be re-examined, with or without a viva voce examination subject to the appropriate fee;
- v) in the case of a PhD examination, the candidate be awarded the degree of MPhil subject to the presentation of the thesis being amended as necessary to the satisfaction of the examiners and the thesis satisfying the University's MPhil descriptor outcomes; or
- vi) the candidate be not awarded the degree and be not permitted to be re-examined.

1.14.3 When the examiners' recommendation is for outcomes 1.14.2 ii) and 1.14.2 iii) it the candidates responsibility to ensure that all recommended corrections are carried out within the specified time period. Failure to do so may result in the University terminating the candidates registration and result in no award being made.

1.14.4 Where the examiners' recommendations are not unanimous, this shall be reported to the Higher Degrees (Research) Committee which may:

- i) uphold a majority recommendation (provided that the majority includes at least one external examiner);
- ii) uphold the recommendation of the external examiner; or
- iii) require the appointment of an additional external examiner, once only, to participate in the examination of the candidate as if for the first time

1.15 RE-EXAMINATION OF THE THESIS

1.15.1 One re-examination may be permitted by the Higher Degrees (Research) Committee subject to the candidate submitting for re-examination within one calendar year from the date of the latest part of the first examination. Where the viva voce examination has been dispensed with, the re-examination shall take place within one calendar year of the date of this dispensation. The Higher Degrees (Research) Committee may, where there are good reasons, approve an extension of this period. The examiners shall not recommend that a candidate fail outright without holding a viva voce examination or other alternative examination even if their original recommendation, approved by the Higher Degrees (Research) Committee, was for resubmission without a viva voce.

1.15.2 The Higher Degrees (Research) Committee may require that an additional external examiner be appointed for the re-examination.

1.15.3 Following the completion of the re-examination the examiners may recommend in accordance with the provisions set out in Regulation 1.14.2 excepting that 1.14.2 iv shall not apply to the re-

examination. In the case of outcomes 1.14.2 ii) and 1.14.2 iii) the amendments must be carried out in accordance with Regulation 1.14.3.

- 1.15.4 Where the examiners' recommendations are not unanimous, the Higher Degrees (Research) Committee may:
- i) uphold a majority recommendation (provided that the majority includes at least one external examiner); or
 - ii) uphold the recommendation of the external examiner.

1.15.5 Where the degree is not awarded, the examiners shall prepare an agreed statement of the deficiencies of the thesis and the reason for their recommendation to be forwarded to the candidate by the Graduate School.

1.16 REVIEW OF A DECISION OF THE THESIS EXAMINERS

ANY APPLICATION FROM STUDENTS FOR A REVIEW OF THE EXAMINERS' DECISIONS SHOULD BE MADE WITHIN 14 DAYS OF RECEIPT OF THE LETTER INFORMING THE STUDENT OF THE DECISION. THE DETAILED PROCEDURE AND TIMESCALE FOR SUBSEQUENT STAGES IS GIVEN IN THE UNIVERSITY'S RESEARCH DEGREE HANDBOOK

- 1.16.1 The Higher Degrees (Research) Committee shall establish procedures for the consideration of applications for review of decisions of examiners and for their reconsideration by examiners.
- 1.16.2 The Higher Degrees (Research) Committee shall authorise the Deputy Vice-Chancellor responsible for appeals and the Registrar to determine whether such applications are within the jurisdiction of a review panel.
- 1.16.3 The following shall be the only grounds for review:
- a) that there has been a material and significant administrative irregularity;
 - b) that the assessments were not conducted in accordance with the Regulations;
 - c) that the student's performance was adversely affected by illness or other valid cause which he or she was unable to divulge before the meeting of the examiners and which could have had a bearing on the examiners' decision;
 - d) that there was demonstrable prejudice on the part of the examiners.
- 1.16.4 It is not possible to apply for a review on the basis of a disagreement with the academic judgement of the examiners. Academic judgement means assessing the merits of the student's work and reaching a decision on the award based on both the thesis and the viva voce examination.
- 1.16.5 Complaints by a candidate about his or her supervision must be made before the candidate submits for examination through annual reporting or other available mechanisms. They shall not be permitted as grounds for a review of the examiners' decision unless the candidate can demonstrate that there were exceptional reasons why the complaint could not be reported before the examination.
- 1.16.6 If the grounds for appeal are deemed within the remit of a review panel the Deputy Vice-Chancellor responsible for appeals shall recommend to the Vice-Chancellor that a review panel be established. The review panel shall be chaired by a nominee of the Vice-Chancellor. There shall be at least two and not more than four other members who shall be staff members of the Academic Board or one of its sub-committees and who have experience of research degree examining and/or research degree examining processes. No member of a review panel shall consider an application in which he or she has an interest. The quorum shall be three members including the chair.

1.16.7 The review panel may determine that:

- a) grounds for review have been established (in which case it shall require the examiners to review their decision in the light of those grounds); or
- b) the application be rejected.

1.16.8 Examiners who are required to review their original decision shall do so as soon as practicable by whatever means they choose providing the means chosen is fair and equitable given the circumstances of the review. The means of review must be agreed by the Head of Graduate School.

1.16.9 There shall be no appeal against the decision of a review panel.

1.17 ANNULMENT OF A DECISION OF THE THESIS EXAMINERS

1.17.1 If, after reconsideration in the circumstances set out in 1.16.7 above, the examiners do not modify their decision the Higher Degrees (Research) Committee may annul that decision if in its opinion proper account has not been taken of the factors specified by the review panel.

1.17.2 Where there has been procedural or other irregularity, or it is not possible to reconvene the examiners, the Higher Degrees (Research) Committee may annul a decision of the examiners without making a prior request for reconsideration.

1.17.3 Where a decision has been annulled the Higher Degrees (Research) Committee shall ask that alternative examiners are appointed through the relevant committee.