



Anglia Ruskin
University

Research Degrees Regulations

Sixteenth Edition

September 2015



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This edition supersedes any earlier editions
of the Research Degrees Regulations

FOREWORD

The booklet contains, at Part A, the Regulations for the Award of Anglia Ruskin University's degrees of Master of Philosophy, Doctor of Philosophy, Doctor of Medicine by Research, Professional Masters and Professional Doctorates.

The booklet also contains, at:

- Part B The Regulations for the Award of Doctor of Philosophy on the basis of Published Work
- Part C Specific Regulations for the Postgraduate Diploma in Professional Research, Professional Masters and Professional Doctorates
- Part D The Regulations for Higher Doctorates
- Part E Specific Regulations for the Doctor of Medicine by Research

The Research Degrees Regulations can be accessed on the web at:

www.anglia.ac.uk/researchregs

Approved by Senate
June 2015

PART A

Regulations for the Award of Anglia Ruskin University's Degrees of Master of Philosophy, Doctor of Philosophy, Doctor of Medicine by Research, Professional Masters and Professional Doctorates

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PART A

Regulations for the Award of Anglia Ruskin University's Degrees of Master of Philosophy, Doctor of Philosophy, Doctor of Medicine by Research, Professional Masters and Professional Doctorates

SECTION 1

PRINCIPLES

- 1.1 Anglia Ruskin University's Research Degrees Regulations are the definitive statement over all other Anglia Ruskin University documents of the regulatory framework leading to an Anglia Ruskin research degree. They are legally binding. In the unlikely event of any discrepancy between the Research Degrees Regulations and any other Anglia Ruskin publication, the Research Degrees Regulations take precedence and will be applied in all cases.

Consistency and Comparability of Academic Standards

- 1.2 Anglia Ruskin University's Research Degrees Regulations are the principal means through which we ensure consistency in the academic standards achieved across our research degree awards.
- 1.3 Anglia Ruskin University will ensure that its research degrees are comparable in standard with those conferred throughout higher education in the United Kingdom and consistent with the QAA Framework for Higher Education Qualifications. This is achieved through the appointment of external panel members with relevant knowledge and expertise, to serve on Approval Panels and independent, experienced external examiners to examine candidates. For Stage 1 Professional Doctorate candidates independent, experienced external moderators are appointed to moderate the Stage 1 papers. Approval Panel members will be provided with copies of the QAA Qualification Descriptors for Masters and Doctoral degrees and the QAA Doctoral Degrees Characteristics. Details of the composition of Approval Panels and their operation can be found in the Senate Code of Practice on Research Degrees Procedural Document at www.anglia.ac.uk/codes. The Descriptors and Characteristics are also included in the Notes of Guidance for Examiners of Postgraduate Research Degree Examinations and Chairs of Postgraduate Research Degrees Examinations.

Award Titles

- 1.4 Anglia Ruskin University shall award the degrees of Master of Philosophy (MPhil), Doctor of Philosophy (PhD), Doctor of Medicine by Research (MD (Res)), Professional Doctorates¹, Professional Masters (MProf) and Postgraduate Diploma in Professional Research (PGDipProf) to registered candidates who successfully complete the approved programmes.
- 1.5 Programmes of research may be proposed in any field of study in which Anglia Ruskin University has expertise, subject to the requirement that the proposed programme is capable of leading to scholarly research and to its presentation for assessment by appropriate examiners. The written thesis may be supplemented by material in other than written form. All proposed research programmes shall be considered for research degree approval on their academic merits and without reference to the concerns or interests of any associated funding body.
- 1.6 The MPhil shall be awarded to a candidate who, having critically investigated and evaluated an approved topic and demonstrated an understanding of research methods appropriate to the chosen field, has presented and defended a thesis by oral examination to the satisfaction of the examiners.

¹ Doctor of Business Administration (DBA), Doctor of Education (EdD), Professional Doctorate in Health and Social Care (DProf [H&SC]), Professional Doctorate in the Built Environment (DProf [BE]), Professional Doctorate in Practical Theology (DProf [PT]), Professional Doctorate in Laws (DProf [Laws]), Professional Doctorate in Science and Technology (DProf [S&T]), Professional Doctorate in Applied Linguistics (DProf[AL])

- 1.7 A doctoral degree shall be awarded to a candidate who:
- having critically investigated and evaluated an approved topic resulting in an *independent and original contribution to knowledge* and
 - demonstrated an understanding of research methods appropriate to the chosen field,
- has presented and defended a thesis by oral examination to the satisfaction of the examiners.
- 1.8 A professional doctorate shall be awarded to a candidate who has successfully passed Stage 1 of the award and has presented and defended a thesis of the required word count (as set out in Part C of these Regulations) by oral examination to the satisfaction of the examiners.
- 1.9 A professional masters shall be awarded to a candidate who has displayed academic rigour and the capacity to produce publishable work. In advancing their understanding and practice within their profession, candidates must have demonstrated an awareness of research as a vehicle to integrate theory and practice.
- 1.10 A postgraduate diploma in professional research shall be awarded to a candidate who has successfully passed the Stage 1 papers to the satisfaction of the External Moderator.

Qualification Descriptors

- 1.11 Anglia Ruskin University's masters and doctoral degrees are awarded to candidates who have demonstrated the outcomes specified in the QAA Framework for Higher Education Qualifications (see Annex 1). Examiners are provided with copies of the QAA Descriptors for Masters and Doctoral Degrees and the Doctoral Degree Characteristics within the Notes of Guidance for Examiners of Postgraduate Research Degrees Examinations. Examiners are asked to confirm in their final report that candidates have demonstrated the characteristics set out in the QAA Qualification Descriptors.

Valuing Diversity and Promoting Equality

- 1.12 Anglia Ruskin University will consider applications to register as a research degree candidate in accordance with its published Equality Policy Framework. The aim of the policy is to provide a supportive environment in which to work and study, and where we will treat each other with dignity, courtesy and respect.

Research Integrity

- 1.13 Anglia Ruskin University is compliant with the Concordat to Support Research Integrity and continues to ensure that the principles expected therein are effectively embedded, evaluated and strengthened in our research endeavours, including in the pursuit of the research degrees qualifications covered by these Regulations.

Research Committee

- 1.14 The Research Committee is responsible, on behalf of Senate, for the development and implementation of Anglia Ruskin University's Research and Scholarship Strategy. The terms of reference and constitution of the Research Committee and its Subcommittees can be found in the 'Constitution of Senate and its Standing Committees' document.

Research Degrees Subcommittee

- 1.15 The Research Degrees Subcommittee is responsible, on behalf of the Research Committee, for the development of research degrees in Anglia Ruskin University and for developing, monitoring and reviewing Anglia Ruskin University's quality assurance and enhancement policies and procedures for monitoring and reviewing the quality of the student experience.
- 1.16 The implementation and development of these regulations, and their associated procedures, will be overseen by the Research Degrees Subcommittee established within the academic committee structure of Anglia University's Senate. Some of the Subcommittee's responsibilities and procedures are devolved to Faculty Research Degrees Subcommittees (FRDSCs). The terms of reference and constitution of the Research Degrees Subcommittee and the FRDSC can be found in the 'Constitution of Senate and its Standing Committees' document.

Research Ethics Subcommittee (RESC)

- 1.17 This Subcommittee of the Research Committee considers proposals and advises on all matters pertaining to the ethics of research investigations involving human participants, human tissue and organs, animals and other research that presents ethical issues (such as damage or disturbance to culturally, spiritually or historically significant artefacts or places, or human remains or research that may have a negative effect on the environment) undertaken by staff and students of Anglia Ruskin University and students at our Associate Colleges. Responsibility for the approval of individual research ethics applications is devolved by RESC to Faculty Research Ethics Panels (FREPs). Each faculty, apart from Medical Science, also has Departmental Research Ethics Panels (DREPs), whose approval of ethics applications must be ratified by the relevant FREP. The terms of reference and constitution of RESC, FREPs and DREPs can be found in the 'Constitution of Senate and its Standing Committees' document.

Review of Regulations

- 1.18 These regulations will be subject to review as and when appropriate, normally on an annual basis. They will seek to embody nationally recognised good practice as recommended from time to time in policies, codes of practice and regulations of the Quality Assurance Agency, funding councils, and research councils.

Useful Publications for candidates and supervisors

- 1.19 A list of useful publications is shown at Annex 2.

Research Degree Forms

- 1.20 A list of research degree forms is shown at Annex 3. Forms are available on ProgressPlatform (<https://progressplatform.anglia.ac.uk>), the Academic Office website (http://web.anglia.ac.uk/anet/academic/acad_sec/research.phtml) and the Research Development and Commercial Services website (<http://web.anglia.ac.uk/anet/rdcs/research/info/guidance.phtml>) or from the secretary to the Faculty Research Degrees Subcommittee.

SECTION 2

ADMISSION OF STUDENTS

General Entry Requirements for Research Study

- 2.1 An applicant may seek admission to study for any of the following research awards:
- (a) Master of Philosophy
 - (b) Doctor of Philosophy with progression from Master of Philosophy
 - (c) Doctor of Philosophy subject to confirmation of candidature
 - (d) Doctor of Medicine by Research
 - (e) Postgraduate Diploma in Professional Research
 - (f) Professional Masters
 - (g) Professional Doctorate
- 2.2 Entry may be permitted at the following points of entry: September, January, April, and June.

Entry Requirements for Master of Philosophy (MPhil) or Doctor of Philosophy (PhD) with progression from Master of Philosophy

- 2.3 An applicant seeking admission to the degree of MPhil or PhD with progression from MPhil shall normally hold a first or upper second class honours degree, in an appropriate cognate area, of a university or any other institution of higher education in the UK with degree-awarding powers or a qualification which is regarded by Anglia Ruskin University as equivalent to a first or upper second class honours degree.

Applications for Direct Entry to PhD

- 2.4 Direct entry to the degree of PhD may be permitted to an applicant who holds a Master's degree awarded by a UK University, or an overseas Master's degree of equivalent standard, provided that the Master's degree is in an appropriate cognate area and that the Master's degree included training in research and the execution of a research project.
- 2.5 A faculty may also permit direct entry to a PhD for a candidate who, although lacking a Master's degree, has a good honours degree (or equivalent) in an appropriate discipline and has had appropriate research or professional experience at postgraduate level which has resulted in published work, written reports or other appropriate evidence of accomplishment.

Applications for Entry to a Postgraduate Diploma in Professional Research or Professional Masters

- 2.6 An applicant seeking admission to the Postgraduate Diploma in Professional Research or the Professional Masters with the possibility of subsequent progression to the Professional Doctorate shall normally:
- hold a first or upper second class honours degree of a university or any other institution of higher education in the UK with degree-awarding powers or a

qualification which is regarded by Anglia Ruskin University as equivalent to a first or upper second class honours degree;

AND

- have appropriate research and professional experience

AND

- must be able to access resources for their research, through the use of, for example, broadband to access our University Library, our virtual learning environment and online research skills courses.

Applications for Entry to a Professional Doctorate

2.7 An applicant seeking entry to the Professional Doctorate shall normally, as a minimum requirement:

- hold a first or upper second class honours degree of a university or any other institution of higher education in the UK with degree-awarding powers, provided that the degree included training in research and the execution of a research project or dissertation, or a qualification which is regarded by Anglia Ruskin University as equivalent to a first or upper second class honours degree.

AND

- have appropriate professional experience

2.8 Any DProf programme that wishes to propose that the minimum entry requirement must be a Masters degree, in an appropriate cognate area awarded by a UK University or an overseas Masters Degree of equivalent standing is required to submit a case to Research Degrees Subcommittee for consideration.

2.9 An applicant who does not have appropriate research experience will be required to demonstrate depth of understanding of research methods by successfully passing a programme of research training identified by the Programme Director, prior to registering on the Postgraduate Diploma in Professional Research or the Professional Masters.

Non Standard Entry Requirements

2.10 Applicants holding qualifications other than those in paragraph 2.3-2.9 shall be considered on their merits and in relation to the nature and scope of the programme of proposed work. In considering an applicant in this category, the Faculty shall look for evidence of the candidate's ability and background knowledge in relation to the proposed research. Professional experience, publications, written reports or other appropriate evidence of accomplishment shall be taken into consideration. An applicant may be required to pass an externally assessed qualifying examination at final year honours degree level before registration is approved. An applicant wishing to be considered under this regulation shall include in the application the names of two suitable persons whom Anglia Ruskin University may consult concerning their academic attainment and fitness for research.

English Language Competence

2.11 Where English is not an applicant's first language, an applicant must demonstrate evidence of English language ability to the following (or equivalent) minimum level of proficiency:

- An IELTS score of 6.5
- or
- A TOEFL score of 600

and have achieved a minimum of English Language competence equivalent to at least IELTS 5.5 across all four disciplines – writing, reading, speaking and listening.

2.12 If necessary, an offer of a place to read for a research degree may be subject to completion of Anglia Ruskin University's Postgraduate English Support Programme.

2.13 These minimum requirements may be supplemented by additional requirements as determined by individual Faculties.

Student Access to Resources

2.14 Students must be able to access resources for their research, through the use of, for example, broadband to access our University Library, our virtual learning environment and online research skills courses.

Students Working as Part of a Research Group

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

2.16 Where a research degree project is part of a piece of funded research, the Faculty shall establish to its satisfaction that the terms on which the research is funded do not detract from the fulfillment of the objectives and requirements of the candidate's research degree.

Franchised and Associate Colleges

2.17 Resources to support doctoral students studying at our Franchised or Associate Colleges will be provided in accordance with the signed Academic Agreement between Anglia Ruskin and the individual College.

Students Located Overseas

2.18 A faculty may approve an application from a candidate proposing to work outside the UK, provided that:

- (a) the arrangements proposed for supervision enable regular face-to-face supervision by the appointment of a local supervisor/adviser. Supervisors/advisers based overseas shall have access to a mentor/colleague at Anglia Ruskin who shall be the First Supervisor or a colleague appointed by the First Supervisor. Where the appointment of a local supervisor is not possible steps must be taken to provide the equivalent web-based face-to-face experience. The form and frequency of supervision must be specified at the point the supervisory team is approved. All supervisors new to supervising at the doctoral level must attend supervisory training at Anglia Ruskin. However,

for local individual supervisors located overseas, Faculties may train these supervisors.

AND

- (b) unless approval has been given for delivery of research training at individual Associate Colleges, all candidates located overseas are required to attend the annual week-long generic research training programme at Anglia Ruskin on at least two occasions during their registration (see also paragraph 3.7 on The Research Training Programme)

AND

- (c) there is satisfactory evidence as to the facilities available for the research both in Anglia Ruskin University and abroad

AND

- (d) the arrangements to work outside the UK do not contravene the national laws of the country concerned

Previous Registration

2.19 Where an applicant has previously undertaken research as a registered candidate for a research degree the relevant Faculty may approve a shorter than usual registration period which takes account of all or part of the time already spent by the candidate on such research.

2.20 Candidates who have been discontinued due to academic failure are permitted to apply for re-admission to a Research Degree provided that:

- at least six months has lapsed between the date of discontinuation and the date of application for re-admission
- the candidate is able:
 - to provide clear evidence of a change in personal circumstances since the date of discontinuation
 - to demonstrate a positive commitment to resume study at higher education level
 - to demonstrate an enhanced knowledge-base and/or relevant experience e.g. based on employment in the period since the date of discontinuation
- the candidate has been formally interviewed by at least two members of academic staff whose decision to re-admit the candidate is unanimous

2.21 Candidates who voluntarily withdraw may apply for re-admission provided that:

- the candidate is able:
 - to provide clear evidence of a change in personal circumstances since the date of withdrawal
 - to demonstrate a positive commitment to resume study at higher education level
 - to demonstrate an enhanced knowledge-base and/or relevant experience e.g. based on employment in the period since the date of withdrawal
- the candidate has been formally interviewed by at least two members of academic staff whose decision to re-admit the candidate is unanimous

Applicants Transferring their Registration from Another University to Anglia Ruskin University

2.22 An applicant transferring their registration from another university to Anglia Ruskin University shall be required to provide the following information:-

- (a) a letter of agreement from the institution where the candidate is currently registered
- (b) a copy of the candidate's original research proposal to the other institution
- (c) a progress report from the candidate's First Supervisor
- (d) the date of original registration and registration period required to completion
- (e) the title of the research project and names and addresses of supervisors
- (f) an indication of the level of resources required to support the research project

2.23 An applicant who is unable to provide the information set out in 2.22 will not be able to register as a transferring applicant.

Concurrent Study

2.24 The Research Degrees Subcommittee may permit a candidate to register for another course of study concurrently with the research degree registration, provided that either the research degree registration and/or the other course of study is by part-time study and that, in the opinion of the Research Degrees Subcommittee, the dual registration will not detract from the research. A candidate will not be permitted to register concurrently for two research degrees, or to submit the same piece of work for assessment for more than one research degree. However, in certain circumstances, related to his/her development needs, a research candidate may be permitted to register for a research degree and in addition to register concurrently for a taught pathway, in both cases leading to an Anglia Ruskin award.

Transferring Course

2.25 A candidate registered for a Professional Doctorate who wishes to transfer their registration to MPhil or PhD, or vice versa, will be required to first seek the support of their First Supervisor and discuss the proposed transfer with the Professional Doctorate Programme Director, before applying in writing to the FRDSC for approval. The relevant form can be obtained from the appropriate FRDSC Secretary.

The Selection Process

2.26 The process of selecting appropriately qualified and/or experienced applicants for admission to a research degree is the responsibility of the appropriate Faculty.

2.27 The process will involve the judgement of the Director of Research Students and at least one other member of University academic staff who have been suitably trained or briefed. At the interview the research proposal form and ethics approval procedure should be discussed with the applicant. The interview will result in a decision to admit/not to admit an applicant to Anglia Ruskin University in the light of the following factors:-

- (a) the academic profile of the applicant and his/her ability to achieve the standard of the appropriate degree within the permitted timescales

- (b) the viability of the proposed research project, its aims and its suitability for the level of award identified
- (c) the availability of supervisors with appropriate expertise, experience of supervision and time to supervise
- (d) the availability of sufficient supporting resources for the conduct of scholarly research in the area of the proposed research project
- (e) the ability to pay ongoing annual tuition fees for a specified period of time (see section 4 for details of the minimum and maximum periods of registration)

Registration as a Student of Anglia Ruskin University

- 2.28 A formal offer letter will be sent to successful applicants offering them a place to read for a research degree at Anglia Ruskin University. On receipt of confirmation of acceptance of the offer, students will be sent an induction pack which includes a registration form.
- 2.29 All applicants who have accepted the offer of a place at Anglia Ruskin University are required to register as a student of Anglia Ruskin University. This process involves completion of online registration and payment of the appropriate tuition fee, in return for access to Anglia Ruskin University's facilities and the research supervisor allocated provisionally to assist the candidate in developing a research proposal. The name of the First Supervisor, or Programme Director for Professional Doctorate programmes, will be included in the offer letter sent to the prospective student. Formal registration as a student of Anglia Ruskin University takes place in September, January, April, and June each year (see paragraph 2.2).
- 2.30 All returning students are required to re-register in each year of their studies and pay the appropriate tuition fee, in return for access to Anglia Ruskin University's facilities and their supervisory team.
- 2.31 Students who have not paid their tuition fees will be deemed to be a debtor of Anglia Ruskin University and will not be entitled to access Anglia Ruskin University's facilities or their supervisory team.

Additional Requirements for Registration as an International Student (non-EEA) of Anglia Ruskin University

- 2.32 Students who have been granted a visa to study in the UK are bound by the student immigration rules also known as Tier 4 of the Points Based System. It is a student's responsibility to ensure they comply with these rules at all times.
- All new students to Anglia Ruskin University must take their passport and visa to our University iCentre on arrival so that a copy of both documents can be made and stored on our University records system.
 - If a student visa is extended or a passport is renewed at any time during the period of registration the student must bring the new biometric ID card/passport to the iCentre so that their record can be updated.
 - Students must ensure their passport and student visa are valid throughout their period of registration
 - Attendance will be monitored throughout the period of registration. If a student does not meet the attendance requirements, is suspended and excluded from Anglia

Ruskin University for any reason, our University is required to inform the the immigration authorities.

- Student visa holders are allowed to study on a full-time basis only. Part-time study is not acceptable
- Students must inform Anglia Ruskin University of any change of address and telephone number (UK and overseas). This can be undertaken via e-vision
- Students must ensure that they re-register at the required time. Our University is required to inform the immigration authorities of any student who fails to re-register

SECTION 3

APPROVAL OF RESEARCH PROPOSAL

Approval of Research Proposal

- 3.1 All registered students for the award of MPhil, PhD and MD (Res) are required to seek approval of their research proposal using the Research Proposal form.

<u>Month of Registration</u>	<u>Research Proposal deadline (Full-time Candidates)</u>	<u>Research Proposal Deadline (Part-time Candidates)</u>
September	28 October	28 November
January	28 February	28 March
April	28 May	28 June
June	28 July	28 August

All candidates for the award of a Professional Masters and a Professional Doctorate are required to seek approval of their research proposal normally no later than 12 months full-time and 24 months part-time after initial registration.

Scrutiny of Research Proposal

- 3.2 Appropriate academic judgement will be brought to bear on the viability of each candidate's research proposal as soon as the candidate and first supervisor (or programme director for Professional Doctorate candidates) are ready, but in accordance with the timescales indicated in 3.1 above. The scrutiny of the research proposal will be by the Director of Research Students/Director of Research/Deputy Dean/Faculty Research Degrees Subcommittee Chair (or Vice Chair), and the subject specialist supervisor, or by a Panel convened to consider a candidate's research proposal. Where a Panel is convened, this will be chaired by the Director of Research Students/ Director of Research/Deputy Dean/Faculty Research Degrees Subcommittee Chair (or Vice Chair) and attendees will include the candidate, at least one member of the supervisory team (preferably the First Supervisor), and at least two experienced research supervisors who are independent of the supervisory team.

In considering the research proposal, Faculties will take into account:

- (a) the viability of the research given the proposed aims and objectives and the candidate's ability to achieve the standards of the relevant degree within the permitted timescale
- (b) the content, clarity and feasibility of the research proposal
- (c) the suitability/experience of the proposed supervisory team meets the criteria as set out in section 7 of these regulations
- (d) whether appropriate ethics approval has been, or will need to be, obtained
- (e) the adequacy of other supporting resources which have been identified as necessary
- (f) the identification of a programme of related studies

Approval of the research proposal may be subject to attendance at Stage 1 of the Research Student Training Programme.

- 3.3 If a research proposal is not approved on first submission the student will be allowed one opportunity to revise and resubmit their research proposal within a period of 2 months.

Research Ethics Approval

- 3.4 A research degree student intending to engage in research will need to consider ethical issues at the earliest possible stage in planning and writing his/her research proposal. Candidates are required to consult the research ethics information, which can be accessed at <http://www.anglia.ac.uk/researchethics>
- 3.5 The Research Proposal Ethics Checklist must be submitted with the Research-Proposal. This checklist can be accessed via Progress Platform. Submission of the checklist does not constitute applying for ethical approval, which is a separate process. At the Research Proposal submission stage, the ethical issues identified are indicative only. It is recognised that the responses on the checklist may have changed by the time the researcher applies for ethical approval.
- 3.6 When applying for ethical approval, researchers must ensure they have read the Research Ethics Policy, Code of Practice for Applying for Ethical Approval at Anglia Ruskin University and Question Specific Advice for the Research Ethics Application Form (Stage 1). Please also refer to paragraphs 3.10 and 3.11 for ethics training requirements. All researchers must submit the Research Ethics Application Form (Stage 1), including those doing desk-based or secondary research*. The responses given on the form will determine whether ethical approval is required and the nature of it.
- 3.7 Researchers must check whether their study falls under the additional insurance questionnaire - research involving human participants (clinical trials) questionnaire -and obtain additional insurance for the study if applicable.
- 3.8 Researchers must also complete a Risk Assessment if required and for any overseas research are responsible for obtaining travel insurance, which can be provided by Anglia Ruskin University.

*apart from research involving animal subjects only, when a separate checklist needs to be completed. This is available on the Faculty of Science and Technology's website at:

<http://ww2.anglia.ac.uk/ruskin/en/home/faculties/fst/research0/ethics.html>

The Research Training Programme

- 3.9 All research degree candidates are required by the Research Degrees Subcommittee to undertake Anglia Ruskin University's three-stage Research Training Programme which is compulsory and designed to support candidates during their research programmes. As part of the Stage 1 Induction training, all students must pass the online Epigeum course Intellectual Property (IP) in the Research Context. All students must complete the Research Skills Training Needs Analysis in order to establish the types of skills training which they need to undertake and a personal development plan. (See the Research Development and Commercial Services website for further details (<http://web.anglia.ac.uk/anet/rdcs/research/info/rdf.phtml>)) In addition, each Faculty offers specific research training, some elements of which may be compulsory. (Also see paragraph – 2.18 Students Located Overseas.)
- 3.10 All new research degree candidates must either attend Introduction to Research Ethics and Integrity (in Human Research) training offered by Research Development and Commercial Services or pass the online Epigeum course Ethics 1 - Good Research Practice.
- 3.11 All new research degree candidates whose research falls under risk categories amber or red, as determined by completing the Research Ethics Application Form (Stage 1), are

also required to pass the online Epigeum course Ethics 2 - Research with Human Subjects in the Health and Social Sciences or an equivalent course approved by the Chair of the appropriate Faculty Research Ethics Panel.

- 3.12 Research students with an undergraduate medical qualification recognised by the General Medical Council in the UK may be exempt from Ethics 1 and Ethics 2 training, subject to providing evidence of an up-to-date Good Clinical Practice training record. Good Clinical Practice training needs to be renewed every 2 years and a copy of the updated training record provided.
- 3.13 All candidates who will be engaged in undertaking teaching on any Anglia Ruskin modules and have not received approved training for that teaching must attend the 'Learning and Teaching in Practice' programme (please see the Research Development and Commercial Services website for further details (<http://web.anglia.ac.uk/anet/rdcs/research/training.phtml>)).

Programme of Related Studies

- 3.14 As part of their research, a candidate may follow a programme of related studies where this is necessary for the attainment of competence in research methods and of knowledge related to the subject of the thesis. This programme is intended:
- (a) to provide the candidate with the skills and knowledge necessary for the pursuit of the proposed research
 - (b) to provide a body of knowledge normally associated with a degree in the field of study of the proposed research and
 - (c) to provide breadth of knowledge in the related subjects
- 3.15 This programme can range from formal short courses through to guided reading.

Research Degrees Involving Creative Work

- 3.16 A candidate may undertake a programme of research in which the candidate's own creative work or equivalent forms the most significant part of the intellectual enquiry. Such creative work or equivalent may be in any field (for instance, fine art, design, engineering and technology, architecture, creative writing, musical composition, film, dance and performance), but shall have been undertaken as part of the registered research programme. In such cases, the presentation and submission may be partly in other than written form.
- 3.17 The creative work, or equivalent, shall be clearly presented in relation to the argument of a written thesis and set in its relevant theoretical, historical, critical or design context. The thesis itself shall conform to the usual scholarly requirements and be of an appropriate length (see paragraphs 10.9 to 10.11).
- 3.18 The final submission shall be accompanied by some permanent record of the creative work, or equivalent, and, where practicable, bound with the thesis (for example, video, photographic record, CD-ROM, musical score, and diagrammatic representation).
- 3.19 Where the above conditions apply the application for registration shall set out the form of the candidate's intended submission and of the proposed methods of assessment for the creative work.

Treatment of Scholarly Work

- 3.20 A candidate may undertake a programme of research in which the principal focus is the preparation of a scholarly edition of a text or texts, musical or choreographic work, or other original artefacts.
- 3.21 The final submission shall include a copy of the edited text(s) or collection of artefact(s), appropriate textual and explanatory annotations, and a substantial introduction and critical commentary which set the text in the relevant historical, theoretical or critical context.

Submission of the thesis in English

- 3.22 The Research Degrees Subcommittee shall satisfy itself that the candidate has sufficient command of the English language to complete satisfactorily the programme of work and to prepare and defend a thesis in English. Permission to present a thesis in another language shall normally be sought at the time of application for registration. Permission to present a thesis, and be examined, in a language other than English shall normally only be given if the subject matter of the thesis involves language and related studies (see paragraph 10.1).

Confidentiality (see paragraph 11.10)

- 3.23 Where a candidate or Anglia Ruskin University wishes the thesis to remain confidential for a period of time after completion of the research, application for approval shall normally be made to the Research Degrees Subcommittee at the time of seeking approval of the research proposal. In cases where the need for confidentiality emerges at a subsequent stage, a special application for the thesis to remain confidential after submission must be made immediately to the Research Degrees Subcommittee. The period approved shall normally not exceed two years from the date of the oral examination.
- 3.24 Where the confidential nature of the candidate's work is such as to preclude the thesis being made freely available in Anglia Ruskin University Library, collaborating establishment or Associate Colleges the thesis shall be retained by Anglia Ruskin University on restricted access and, shall only be made available to those who were directly involved in the project.
- 3.25 The Research Degrees Subcommittee 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 Research Degrees Subcommittee may approve a longer period. Where a shorter period would be adequate the Research Degrees Subcommittee shall not automatically grant confidentiality for two years.

Intellectual Property

- 3.26 It is our intention to require all research degrees students to sign an undertaking that, in instances where they are formally notified as working on a project having commercial sponsors or commercial potential, they will enter into a confidentiality agreement, and assign their Intellectual Property rights to us unless they are employed by the organisation funding the research. In return we will treat postgraduate researcher inventors on such projects on the same financial basis as staff inventors in respect of Intellectual Property-based income.

SECTION 4

TIMESCALES FOR COMPLETION

Minimum and Maximum Periods of Registration

- 4.1 The minimum and maximum periods of registration are calculated from the initial date of registration. Entry onto the Writing Up Stage must take into account the following minimum and maximum periods of registration within which students must submit their thesis for oral examination:

	<u>Minimum</u>	Maximum
MPhil		
<i>full-time</i>	12 months	36 months
<i>part-time</i>	24 months	48 months
PhD [via progression from MPhil registration and including that period of MPhil registration]		
<i>full-time</i>	24 months	60 months
<i>part-time</i>	36 months	72 months
PhD [direct]		
<i>full-time</i>	24 months	60 months
<i>part-time</i>	36 months	72 months
MD (Res)		
<i>full-time</i>	24 months	48 months
<i>part-time</i>	36 months	72 months
Professional Doctorate		
<i>part-time</i>	36 months	72 months
<i>part-time (following full-time Stage 1)</i>	32 months	60 months
Postgraduate Diploma in Professional Research		
<i>part-time</i>	16 months	30 months
<i>full-time</i>	12 months	18 months
Professional Masters		
<i>part-time</i>	30 months	48 months
<i>part-time (following full-time Stage 1)</i>	26 months	36 months

- 4.2 A full-time candidate shall normally reach the standard for MPhil within two years of registration and for PhD within three years. Part-time candidates should normally reach the standard for MPhil within 3 years and for PhD within 4 years. A professional doctorate candidate shall normally reach the standard for DProf within 4 years. A Professional Masters candidate shall normally reach the standard for MProf within 3.5 years. An MD (Res) candidate shall normally reach the standard for the MD (Res) award in 2 years.

Holiday Entitlement for Graduate Teaching Assistants and Studentship Holders

- 4.3 The holiday entitlement for graduate teaching assistants and studentship holders will be 35 days inclusive of public holidays.

Shortening the Period of Registration

- 4.4 Where there is evidence that the research is proceeding exceptionally well, the Faculty Research Degrees Subcommittee may approve a shorter minimum period of registration. An application for such shortening should be submitted before the application for approval of examination arrangements.

Extending the Period of Registration

- 4.5 A candidate shall be expected to submit the thesis before the expiry of the maximum period of registration. The Faculty Research Degrees Subcommittee may extend a candidate's period of registration where evidence is submitted to support the request, normally for not more than six months at a time, or until the end of the Writing Up Period, up to a maximum of 12 months. In making their decision the FRDSC will take into account the progress made by the candidate, any previous requests for intermission or extensions and the validity of the evidence provided by the candidate. Only in exceptional and unforeseen circumstances will a further period of 6 months be permitted. A candidate seeking an extension shall apply to the FRDSC on the appropriate form. An action plan agreed with the first supervisor, which will enable successful completion of the thesis, must be submitted at the time of requesting an extension.

International Candidates Requesting Extensions

- 4.6 If a candidate requires an extension to their current student visa they should seek advice from an International Student Adviser within Student Services at least two months before their current visa expires.
- 4.7 Anglia Ruskin University may refuse to support a student visa extension in the UK if a student is not making satisfactory progress, has outstanding debts, has breached their immigration conditions or has overstayed their visa.

Change of Mode of Study

- 4.8 Where a candidate changes from full-time to part-time study or vice versa, the minimum and maximum registration periods shall be calculated on a pro-rata basis as a proportion of the stated minimum and maximum periods of registration, in accordance with the length of time spent as a full and part-time candidate. A student who transfers from full-time to part-time study may not always be eligible for the full six years period of registration. (Please see the Senate Code of Practice Procedural Document for guidance on calculating the length of the period of registration.) Candidates will not be permitted to change mode of study once entering the Writing Up Stage.

Change of Focus of Study

- 4.9 A candidate wishing to make a significant change to the focus, or context, of their approved research proposal should first seek the support of their First Supervisor before applying in writing to the Faculty Research Degrees Subcommittee for approval.

Annual Monitoring Requirements

- 4.10 All research degrees candidates are required to attend an annual monitoring review meeting in every year of registration. The annual monitoring process is compulsory for all students except those who have formally submitted their thesis to the Academic Office and those registered for PhD by Published Work, for whom alternative monitoring arrangements exist (see Part B, paragraph 5.2). Candidates who are required to resubmit their thesis for re-examination following their viva voce examination must have an annual monitoring meeting within four months of the date the examiners' feedback is sent to the candidate following their viva voce examination.

- 4.11 The annual monitoring review meetings must be held face-to-face for all full-time students, however for part-time students this may take place using a video link and for students located overseas teleconferencing may be used. The annual review meeting will be attended by the student, at least one member of the supervisory team (preferably the First Supervisor), and an independent convenor. Evidence of engagement by the full supervisory team must be submitted to the independent convenor where it is not possible for all supervisors to attend. For MD (Res) students one of the supervisors attending the review meeting must be the medical practitioner. For students on Stage One of the Professional Doctorate only the Programme Director will be formally required to attend the meeting along with the student and the convenor. The convenor will be a member of staff who is independent of the supervisory team, has knowledge of the broad subject area of the research and experience of research student supervision.
- 4.12 In addition the Faculty Research Degrees Subcommittee will monitor whether the candidate is:
- (a) still actively engaged on the research programme
 - (b) maintaining regular and frequent contact with the supervisors
 - (c) likely to achieve the academic standards of the degree for which registered
 - (d) likely to complete successfully within the normal permissible time scale
- 4.13 As part of this process the Research Degrees Subcommittee will consider annually the outcome of the Faculty annual monitoring process and the action plan developed to address the issues raised.
- 4.14 Further guidance on the meetings which are expected to take place within the reporting period to 31 July is provided in the Senate Code of Practice Procedural Document.

Intermission of Study

- 4.15 Where the candidate is prevented, by ill-health or other cause, from making progress with the research, the candidate may apply to the Faculty Research Degrees Subcommittee to intermit their studies. Candidates may apply for up to a maximum of 6 months intermission, excluding requests for maternity, shared parental or adoption leave, and any exceptional further requests would need to be approved by the Chair of the Research Degrees Subcommittee. Candidates who wish to intermit from their studies may be required to provide evidence to support the request to the Faculty Research Degrees Subcommittee, normally prior to the date of commencement of intermission. Approval of any period of intermission shall be subject to a candidate's immigration status. During the period of intermission a student's registration on their research degree is suspended, which means that they will not receive supervision.
- 4.16 Student visa holders are required to leave the UK during the period of intermission. In addition Anglia Ruskin University is required to inform the immigration authorities of any Tier 4 student visa holder who is intermitting from their studies. Tier 4 visa holders will have their current visa curtailed (along with the visas for any of their dependants also resident in the UK) and will need to apply for a new student visa to return to the UK.
- 4.17 If a candidate requires a new visa to return to the UK after a period of intermission they should seek advice from an International Student Adviser within Student Services at least two months before they are due to return.
- 4.18 Any student visa holder considering intermitting from their studies should seek advice from an International Student Adviser on the likely impact to their immigration status in the UK.

Withdrawal of Registration

- 4.19 Where a candidate has discontinued their research, the withdrawal of registration shall be notified to the Faculty Research Degrees Subcommittee.
- 4.20 The FRDSC is responsible for monitoring students' progress. Where concern is expressed by the First Supervisor about a candidate's progress, or lack of contact, the FRDSC will write to the candidate at their last known address advising them that they need to make satisfactory progress by a given deadline or they will be withdrawn by the FRDSC. If satisfactory progress is not made by this deadline at the next meeting the FRDSC will withdraw the candidate. Following the FRDSC meeting the Secretary will write to the candidate informing them of the FRDSC's decision.
- 4.21 The Faculty Research Degrees Subcommittee may terminate the registration of a candidate for any of the following reasons:
- (a) if the candidate's period of registration has expired, an application for extension of registration has not been submitted and approved, and their thesis has not been submitted
 - (b) if the candidate has failed to maintain registration as a student of Anglia Ruskin University
 - (c) if the candidate has failed to comply with the annual monitoring process
 - (d) the annual monitoring process has provided evidence of unsatisfactory academic progress
 - (e) where the candidate has not made satisfactory academic progress and has been sent written warnings by Anglia Ruskin University as set out in paragraph 4.21
 - (f) where the candidate has not submitted their thesis on completion of the Writing Up Stage where applicable
 - (g) where the candidate has failed to attend compulsory research training
 - (h) where the candidate has failed to submit a satisfactory research proposal
 - (i) where the candidate on a Professional Doctorate programme has failed to satisfy the assessment requirements for the Stage 1 papers
 - (j) where an allegation of plagiarism has been proved
- 4.22 The Research Degrees Subcommittee may terminate the registration of a candidate who has failed to submit the revised thesis for examination by the stated deadline and who has not requested and had approved an extension.

SECTION 5

ACADEMIC HONESTY

Academic Misconduct

5.1 All candidates are expected to produce and submit a Turnitin report on their research proposal and submissions for Confirmation of Candidature, their thesis and resubmitted thesis, where resubmission is required, and discuss the online report with their First Supervisor. First Supervisors are required to confirm on the form which is completed at the time of formal submission of work that the Turnitin report has been discussed with the candidate and that any issues arising from the report have been addressed. Candidates registered on Stage 1 of a Professional Doctorate degree must additionally produce and submit a Turnitin report for each of their Stage 1 papers and discuss the report with the Programme Director.

5.2 Plagiarism and collusion are common forms of assessment offence. They are defined as follows:

“Plagiarism”

Plagiarism is the submission of an item of assessment containing elements of work produced by another person(s) in such a way that it could be assumed to be the candidate’s own work. Examples of plagiarism are:

- the verbatim copying of another person’s work without acknowledgement
- the close paraphrasing of another person’s work by simply changing a few words or altering the order of presentation without acknowledgement
- the unacknowledged quotation of phrases from another person’s work and/or the presentation of another person’s idea(s) as one’s own.

Copying or close paraphrasing with occasional acknowledgement of the source may also be deemed to be plagiarism if the absence of quotation marks implies the phraseology is the candidate’s own.

Plagiarised work may belong to another candidate or be (purchased) from a published source such as a book, report, journal or material available on the internet.

“Collusion”

Collusion occurs when two or more individuals collaborate to produce a piece of work submitted (in whole or in part) for assessment and the work is presented as the work of one candidate alone.

5.3 Where a Supervisor, Confirmation of Candidature Assessor or Examiner considers that an assessment offence has been committed, they will refer their concerns to the Faculty Director of Research Students. If the Faculty Director of Research Students believes that there is a case to answer they will refer the matter to the Academic Office for further investigation as detailed in regulations 5.4-5.14.

5.4 The investigation into any suspected cases of academic misconduct by research degree candidates will be investigated by the Research Degrees Subcommittee which will nominate an Investigating Officer from amongst its membership, who is independent of the Faculty in which the candidate is registered.

5.5 The Investigating Officer is responsible for determining if there is sufficient evidence that an assessment offence has occurred and in so doing, determines the nature of the

formal allegation to be put to the student (eg: plagiarism, collusion etc.). In reaching this conclusion, the Investigating Officer will present their findings to the Chair of the Research Degrees Subcommittee, within one month of being nominated to investigate the case.

- 5.6 If the Investigating Officer believes that no assessment offence of any nature has occurred, no formal allegation is made against the student and no further action is taken. If the Investigating Officer confirms that there is a case to answer, the allegation will be put to the candidate.
- 5.7 If a candidate denies the alleged assessment offence, the Chair of the Research Degrees Subcommittee will convene a panel to hear the allegation and to give the candidate an opportunity to demonstrate that cheating has not occurred. Membership of the Panel will comprise:
- two members of the Research Degrees Subcommittee who are not members of the Faculty in which the candidate is registered, and have not acted as the Investigating Officer (one of whom may act as chair)
 - a member of Anglia Ruskin University's Academic Regulations Subcommittee
 - a postgraduate research student from another Faculty nominated by the president of the Students' Union, in consultation with the Executive Secretary
 - the Director of the Academic Office (or nominee) who is a full member and acts as Executive Secretary

In addition, the following have the right to be in attendance:

- the President of the Students' Union (or an elected representative of the Students' Union)
- the presenter of the case (Dean of Faculty or nominee)
- the student whose case is being heard and his/her friend or a representative of the Students' Union

In addition, a Report Secretary shall be appointed by the Academic Office.

- 5.8 Neither Anglia Ruskin University nor the student whose case is being heard is legally represented during the conduct of a hearing.
- 5.9 The Hearing is formal and shall operate in accordance with the procedure set out in Section 10(E) of the Academic Regulations. The Hearing will take place as soon as possible and normally no later than three months after the formal allegation is made. The Panel will reach a decision based on the 'balance of probabilities' and will submit their recommendations to the Research Degrees Subcommittee for consideration.
- 5.10 Alleged academic offences, which threaten the integrity of Anglia Ruskin University's awards and the maintenance of academic standards, will be investigated thoroughly.
- 5.11 Students registered on Stage 1 of a Professional Doctorate Programme are also subject to Anglia Ruskin University's procedures for handling allegations of plagiarism and other forms of academic misconduct, published separately as part of Anglia Ruskin University's Academic Regulations (Section 10) published on My.Anglia.
- 5.12 Where an allegation of plagiarism or other assessment offence has been proved or admitted, the Chair of Research Degrees Subcommittee, after consultation with the

Dean of the Faculty, is required to recommend to the Vice Chancellor that the student be expelled from Anglia Ruskin University.

- 5.13 If during the process the candidate provides evidence of mitigating circumstances that he/she asserts directly led to the assessment offence being committed, such information does NOT impact on the Investigating Officer's findings or the Panel's decision as to whether or not the assessment offence has occurred. However, if the Investigating Officer or the Panel believes that, as a result of the mitigating circumstances, the prescribed penalty is exceptionally inappropriate they can, at their discretion, refer the matter to the Deputy Vice Chancellor (Academic), to review the appropriateness of the penalty. The Investigating Officer and the Panel are not authorised to amend the penalty themselves.
- 5.14 The referral must be supported by relevant documentary evidence. The Deputy Vice Chancellor (Academic) will consider the case within ten working days of receiving the request to review the penalty and is authorised to impose an alternative penalty.

SECTION 6

ACADEMIC APPEALS

6.1 This section of the Research Degrees Regulations describes the academic appeals process for all candidates registered on a research degree award conferred by Anglia Ruskin University. It mirrors the process for taught students described in Section 9 of the Academic Regulations.

Grounds for an Appeal

6.2 A candidate registered for a research degree has the right to appeal against a decision made at any of the three key assessment points:

- Assessment of the research proposal
- Confirmation of Candidature
- Examination of the thesis (see Review of an Examination Decision, section 15 of the Research Degrees Regulations).

6.3 In addition candidates may also appeal against decisions made relating to:

- the assessment of Stage 1 papers (Stage 1 Professional Doctorate candidates only)
- the lack of establishment of a *prima facie* case for the award of PhD by Published Work
- withdrawal of registration by the Faculty Research Degrees Subcommittee due to lack of academic progress

6.4 Any appeal must be based on either or both of the following grounds:

- that his/her performance in the assessment was adversely affected by illness or other factors which s/he was unable, or for valid reasons unwilling, to divulge before the decision was made. The candidate's request must be supported by medical certificates or other documentary evidence acceptable to the Appeals Panel, indicating clearly why such evidence was not previously presented
- that there has been a material administrative error, or that the assessment(s) was not conducted in accordance with the Research Degrees Regulations, or that some material irregularity has occurred.

Candidates may not appeal on any ground which:

- has already been considered and rejected unless additional evidence in support of the appeal is provided and there is a valid reason (supported by evidence) why the additional evidence was not submitted originally
- claims that academic performance was adversely affected by ill health, where there is no medical evidence certified by a recognised medical practitioner, GP or hospital consultant or other evidence deemed appropriate to support the application.
- disputes only the academic judgement concerning the candidate's performance in any academic work.

Submitting an Appeal

- 6.5 A candidate wishing to exercise a right of appeal must give notice in writing, using the appropriate proforma which is available on the Research Development and Commercial Services website (<http://web.anglia.ac.uk/anet/rdcs/research/info.phtml>). The completed proforma should be submitted to the Director of the Academic Office (or nominee) within 25 working days of the date of notification of the decision being sent to the candidate. The proforma must state the grounds and evidence on which the candidate wishes to appeal.
- 6.6 Only in very exceptional circumstances and with the explicit agreement of the Chair of the Senate, acting on the advice of the Director of the Academic Office (or nominee), an appeal outside the normal time limits may be considered.
- 6.7 A candidate wishing to appeal on grounds of illness is required to send to the Director of the Academic Office (or nominee) supporting documented medical evidence, explaining the reasons why the evidence was not originally presented.
- 6.8 A candidate wishing to appeal on the grounds that there has been a material administrative error or that the assessments were not conducted in accordance with the Research Degrees Regulations is required to send to the Director of the Academic Office (or nominee) such documentary evidence as is appropriate to support the appeal. Such evidence must be sent to the Director of the Academic Office (or nominee) at the same time as the proforma is completed. The Director of the Academic Office (or nominee) also notifies the candidate's Director of Research Students that an appeal has been submitted.
- 6.9 The Director of the Academic Office (or nominee) has the right to call for additional written evidence from the candidate and/or Anglia Ruskin University staff and to include any such additional evidence as s/he thinks is conducive to a better informed judgement.

Investigating an Appeal

- 6.10 The Director of the Academic Office (or nominee) acknowledges receipt of the formal notice of appeal. Two staff from a pool of the Director of the Academic Office, Deputy Director of the Academic Office and the Research Degrees Manager review all academic appeals upon receipt. The following appeals are dismissed without a referral to the Faculty:
- where the criteria for grounds for an academic appeal are not satisfied
 - where there is no evidence provided to support the appeal, or that such evidence is not timely
 - where there is no reason provided nor evidence submitted as to why the reasons were not raised originally.
- 6.11 All other academic appeals, including those which satisfy the grounds for an academic appeal and which provide timely and appropriate evidence, are forwarded to the Director of Research Students for his/her consideration. If the candidate submitting the appeal is supervised by the Director of Research Students, the appeal will be sent to the Director of Research or the Deputy Dean. If the Director of Research Students agrees that there is a ground for an appeal, the appeal is upheld and the Director of the Academic Office (or nominee) notifies the appellant accordingly.
- 6.12 If the Director of Research Students does not uphold the appeal s/he is required to meet the appellant to discuss the appeal and to seek to resolve it at a local level. Whilst this meeting is normally conducted face-to-face with the student, it can be

conducted by the most appropriate medium for the student if it is not possible for a student to attend Anglia Ruskin University's main campuses in the UK. The appellant may be accompanied at the meeting by a friend but not a legal representative. A written record of the discussion is kept by the Director of Research Students and the recommendation arising from that discussion is recorded on the Internal Resolution proforma which is sent to the Director of the Academic Office (or nominee). The Internal resolution meeting takes place within 20 working days of the date of receipt of the notice of appeal. If the candidate does not attend the meeting, the Director of Research Students is not required to re-arrange the meeting but proceeds to consider the appeal. The Director of Research Students is permitted to dismiss the appeal on the grounds that the appellant has not engaged with the Internal Resolution process.

Preliminary Review Panel

- 6.13 If the matter is not resolved within the Faculty, the Director of the Academic Office (or nominee) subsequently refers the matter to a Preliminary Review Panel to review the following written evidence:
- the candidate's written appeal and supporting evidence
 - the evidence provided by the Faculty, including the Internal Resolution proforma.
- 6.14 The Preliminary Review Panel meets, normally within 40 working days of the date of receipt of the notice of appeal. The Preliminary Review Panel comprises the Director of the Academic Office (or nominee), the Research Degrees Manager and a student nominated by the President of the Students' Union.
- 6.15 If the Preliminary Review Panel is satisfied that the notice of appeal and accompanying evidence discloses a ground for appeal, the Director of the Academic Office (or nominee) advises the Director of Research Students accordingly.
- 6.16 If the appeal is not contested by the Director of Research Students, the Preliminary Review Panel requests the Director of the Academic Office (or nominee) to uphold the appeal and to notify the appellant of the decision, normally within 10 working days.
- 6.17 If the appeal is contested by the Director of Research Students, the Director of the Academic Office (or nominee) will convene a meeting of an Appeals Panel.
- 6.18 If an appeal is rejected by the Preliminary Review Panel, the appellant has the right to have the appeal heard by an Appeals Panel only if:
- additional evidence, which was not presented to the Preliminary Review Panel, is subsequently submitted by the appellant. The additional evidence must be related to the grounds and reasons cited in the original submission of the appeal. The submission of additional evidence at this stage can not be used by the appellant as an opportunity to change the grounds of appeal **and**
 - the candidate has engaged in the Internal Resolution process
- 6.19 No arrangements are made to conduct a hearing until the additional evidence is submitted. An appellant wishing to exercise this right is required to notify the Director of the Academic Office (or nominee) of this wish in writing, and supply the required additional evidence, within 15 days of the communication confirming the decision of the Preliminary Review Panel. If no further evidence has been received by this deadline, the request for a hearing and therefore the academic appeal is dismissed.

Appeals Panel

- 6.20 The membership of the Appeals Panel comprises:
- an academic member of the Research Degrees Subcommittee, who acts as Chair of the Panel
 - two other academic members of the Research Degrees Subcommittee, who are not members of the Faculty in which the appellant is registered nor have supervised the appellant
 - a postgraduate research student from another Faculty nominated by the President of the Students' Union

- 6.21 The Deputy Director of the Academic Office acts as Executive Secretary to the Appeals Panel, but is not a Panel member.

In addition, a Report Secretary shall be appointed by the Academic Office.

The following have the right to be present and to speak at sittings of the Appeals Panel:

- the Director of Research Students located in the appellant's Faculty
 - the President of the Students' Union (or an elected representative of the Students' Union)
 - the appellant and his/her friend or a representative of the Students' Union.
- 6.22 Neither Anglia Ruskin University nor the student whose case is being heard is legally represented during the conduct of a hearing of the Appeals Panel.

Procedures

- 6.23 The Report Secretary to the Panel, who on receiving the request to convene an Appeals Panel, normally and in not less than 10 and no more than 30 working days:
- calls a meeting of the Appeals Panel
 - ascertains from the appellant whether s/he objects to the attendance of the President of the Students' Union at the Appeals Panel
 - gives notice to the appropriate Director of Research Students and the President of the Students' Union of the date, time and place of the meeting
 - gives notice in writing to the appellant by way of personal delivery or if this is not possible by recorded postal delivery to the appellant's last known address, such notice stating:
 - i) the nature of the appeal
 - ii) the date, time and place of the hearing of the Appeals' Panel and its membership
 - iii) that s/he has a right to be heard at the hearing accompanied, if s/he so wishes by a friend
 - iv) that in his/her unavoidable absence s/he may, in writing, appoint a proxy (who may be a member of the Students' Union) to represent him/her at the hearing
 - v) that s/he has a right to submit a written statement or written evidence for consideration by the Appeals Panel and that evidence may be presented by the Secretary
 - vi) that s/he is responsible for informing witnesses in support of his/her case of the details of the hearing of the Appeals Panel and for securing their attendance at the hearing
 - vii) that s/he is responsible for informing the Report Secretary of the Appeals Panel as soon as possible of the names of witnesses s/he proposes to call and whether s/he wishes to be accompanied by a friend and if so the name of the friend.

- provides members of the Appeals Panel, the Director of Research Students, the President of the Students' Union (or elected representative) with copies of all relevant documentation.

Conduct of a Formal Hearing

- 6.24 Anglia Ruskin University reserves the right to involve such other individuals as it thinks appropriate to the presentation of the case.
- 6.25 All hearings are minuted and a record of the minutes is kept by the Director of the Academic Office (or nominee)
- 6.26 The time between completion of the hearing and formal notification to the appellant of the Panel's recommendation to the Research Degrees Subcommittee is normally no more than 10 working days. If the appellant is present, s/he is normally informed of the Panel's recommendation at the conclusion of the hearing.
- 6.27 If an appeal is upheld, the Chair of the Research Degrees Subcommittee (or his/her nominee) normally arranges for the Faculty to review its decision in the light of the additional information provided through the appeals process, within 21 days of the date of the Secretary's letter to the appellant upholding the appeal.
- 6.28 The hearing is conducted in the following sequence:
- the appellant or his/her friend in support of the case. The evidence may be in writing and/or witnesses may be called.
 - witnesses in support of the appellant
 - the Director of Research Students with a view to demonstrating that the appeal should not be upheld. The evidence may be in writing and/or witnesses may be called.
 - witnesses in support of the Director of Research Students
 - final statement by the appellant or his/her friend or representative of the Students' Union
 - final statement by the Director of Research Students.
- 6.29 The Director of Research Students and witnesses, the appellant and his/her friend have the right to be present during the taking of evidence. All have the right to put questions to the witnesses and to each other, except that none has the right to put questions on the other's final statements.
- 6.30 If the appellant does not appear at the hearing, the Appeal Panel may proceed to deal with the appeal in his/her absence provided the Panel is satisfied that the Secretary has properly notified the appellant of the hearing. The Secretary will inform the appellant of the decision normally within 10 working days, stating that s/he has the right of appeal against the Panel's recommendations.

Hearing Outcomes

- 6.31 The Appeals Panel sits in private and having heard the appeal decides:
- whether the appeal can be upheld
 - if so, the recommendation to make to the Faculty
 - if not, to dismiss the appeal

Decisions Available to the Panel

6.32 The Appeals Panel, having heard the appeal, may, if satisfied:

For cases involving Material administrative error or irregularity

- refer the matter to the Faculty with an instruction to reconsider its decision in the light of the findings of the Appeal Panel, if it is satisfied that in relation to the individual appellant there has been a material administrative error, or that the assessments were not conducted in accordance with the Research Degrees Regulations or that some other material irregularity occurred. (The normal expectation is that the Faculty acts accordingly. If the Faculty is not prepared to reconsider its original decision, a formal written statement with its reasons for not doing so, must be submitted to the Director of the Academic Office [or nominee].)

For cases involving Illness or Other Factors

- refer the matter to the Faculty with an instruction to reconsider its decision in the light of the findings of the Appeals Panel, if it is satisfied that the appellant's performance in the assessment was adversely affected by illness or other factors which s/he was unable, or unwilling for valid reason to divulge before the assessment. (The normal expectation is that the Faculty will act accordingly. If the Faculty is not prepared to reconsider its original decision, a formal written statement of its reasons for not doing so must be submitted to the Director of the Academic Office [or nominee].)

Where there are no Grounds or Grounds of Insufficient Weight

- dismiss the appeal, if it is satisfied that the appellant has failed to establish the ground of the appeal.

Appeals arising from a Hearing

6.33 The only ground for appeal against a decision of an Appeals Panel not to uphold an appeal is that the appeals procedures set out in these Research Degrees Regulations were not followed.

6.34 There are no grounds for appeal on the basis of the following:

- new evidence not disclosed at the hearing
- disputing the academic judgement of the Panel
- disputing the competence of panel members

Procedures for Further Appeal to the Board of Governors

6.35 An appellant may submit a further appeal to the Board of Governors either:

- if an appeal has not been upheld by an Appeal Panel and there is evidence that the procedures for considering the appeal were not followed

OR

- if an appeal has been upheld by an Appeals Panel and referred to the Faculty for reconsideration but the original decision has not been modified.

6.36 Any further appeal must be submitted by the appellant to the Clerk to the Board of Governors for receipt within 10 working days of notification of the Panel's decision. The further appeal must specify in writing precisely what aspect(s) of the procedure was not followed.

SECTION 7

SUPERVISION

Responsibilities of the Supervisory Team

- 7.1 The primary role and responsibility of doctoral supervisors is to advise upon and guide candidates through the scholarly and technical processes that enable candidates to display doctorateness in a thesis.
- 7.2 One supervisor shall be designated as the First Supervisor with responsibility to supervise the candidate on a regular and frequent basis and to act as the principal point of contact on administrative matters. S/he will also be accountable to the Faculty in the first instance and to Anglia Ruskin University for the proper conduct of the research programme, including compliance with relevant University policies.
- 7.3 The First Supervisor shall be:
- either a full-time or fractional member of the academic staff of Anglia Ruskin University whose role includes full academic duties including research or
 - an Emeritus Professor of Anglia Ruskin University, where this is in the best interest of the student, who must be based in the UK, but not a Visiting Professor nor the holder of any other Visiting title conferred by Anglia Ruskin University (with the exception of candidates for the Doctor of Medicine by Research) or
 - a full-time or fractional member of the academic staff of Cambridge Theological Federation.
- 7.4 A research degree candidate shall have at least two supervisors who collectively meet all of the following criteria: -
- (a) To hold a doctoral award and
 - (b) Have previous successful supervision to completion up to the level of the award being supervised (includes supervision of PhD by Published Work) and
 - (c) Recent involvement in externally funded research and/or refereed publication in the fields in which they offer supervision
- It is also preferable for the supervisory team to have experience of internal or external examinerships for MPhil, PhD or other Doctorates.
- 7.5 In addition, for candidates registered for the award of Doctor of Medicine by Research, one member of the supervisory team must be a medical practitioner.
- 7.6 Each member of the supervisory team must have attended one of Anglia Ruskin University's Supervisor Training Programmes (or equivalent) or undertaken recent relevant continuing professional development. Members of supervisory teams for candidates registered for the award of Doctor of Medicine by Research must attend the Anglia Ruskin University Supervisory Training Programme.
- 7.7 Unless they are granted exemption by the Faculty Director of Research, all supervisors will be required to either attend Introduction to Research Ethics and Integrity (in Human Research) training offered by Research Development and Commercial Services or pass the online Epigeum course Ethics 1 - Good Research Practice. In addition, First

Supervisors must also pass the online Epigeum course Ethics 2 - Research with Human Subjects in the Health and Social Sciences.

Nominations for Appointment as Supervisors

- 7.8 Nominations for appointment as supervisors will be considered from all members of the academic staff whose role includes full academic duties including research or those who have a contract of employment with Anglia Ruskin University specifically to undertake research supervision. The supervisory team should have appropriate subject expertise and the necessary skills and experience to monitor, support and direct candidates' work. Faculties may appoint, and pay for, an external supervisor where this is deemed necessary but s/he cannot act as the First Supervisor. At least one member of the supervisory team, preferably the First Supervisor, will be currently engaged in research in the relevant discipline so as to ensure that the direction and monitoring of the candidate's progress is informed by up to date subject knowledge and research developments.
- 7.9 In allocating supervisors, FRDSCs will need to be aware of, and guided by, the overall workload of the individual, including teaching, research, administration and other responsibilities, for example, external examining duties and other professional commitments, such as consultancy or clinical responsibilities.
- 7.10 Members of staff located in Support Services are eligible to be nominated as a First Supervisor.

Exclusions from Supervisory Teams

- 7.11 A relative/partner of the candidate shall not be permitted to be appointed as a member of the candidate's supervisory team.
- 7.12 Supervisors who are related to each other will normally not be permitted to be appointed as a member of the supervisory team without explicit approval of the Chair of Research Degrees Subcommittee.
- 7.13 A candidate for a research degree, except those submitting for a PhD by Published Work, shall be ineligible to act as First Supervisor for another research degree candidate but may act as a second supervisor or adviser.

Role of Adviser

- 7.14 In addition to the supervisors, an adviser or advisers may be proposed to contribute some specialised knowledge or a link with an external organisation.

Supervision for Candidates Located Overseas

- 7.15 All research degrees candidates located overseas must receive face-to-face supervision on a regular basis. This should be achieved by the appointment of a local supervisor/adviser. Supervisors/advisers based overseas shall have access to a mentor/colleague at Anglia Ruskin who shall be the First Supervisor or a colleague appointed by the First Supervisor. Where the appointment of a local supervisor is not possible steps must be taken to provide the equivalent web-based face-to-face experience. The form and frequency of supervision must be specified at the point the supervisory team is approved. All supervisors new to supervising at the doctoral level must attend supervisory training at Anglia Ruskin. However, for local supervisors located overseas, individual Faculties may train these supervisors.

Maximum Number of Candidates Per Supervisor

7.16 The Faculty Research Degrees Subcommittee on approval of the research proposal shall ensure that individual supervisors are not overloaded, using the following allocation:

First Supervisor	Full-time student	1 FTE
	Part-time student	0.5 FTE
Second or subsequent supervisor	Full-time student	0.5 FTE
	Part-time student	0.25 FTE

7.17 Supervisors may normally supervise up to 8 full-time equivalent (FTE) research degree students, to a total of 15 research degree students (head count).

Change in Supervision Arrangements

7.18 A proposal for a change in supervision arrangements shall be made to the Faculty Research Degrees Subcommittee on the appropriate form.

SECTION 8

CONFIRMATION OF APPROVAL AS A CANDIDATE FOR PhD, MD (Res), PROFESSIONAL DOCTORATE OR PROGRESSION OF CANDIDATURE FROM MPhil to PhD

Purpose

- 8.1 This process is designed to support the research candidate and provide constructive criticism of the research presented. Ideally at this stage candidates will have presented either posters and/or papers at appropriate research conferences.

Timing of Application

For Students Registering in September 2015 onwards:

- 8.2 PhD and MD(Res) candidates are required to apply for confirmation of candidature for PhD between 9-18 months after registration for full-time candidates and between 15-24 months after registration for part-time candidates.
- 8.3 Professional Doctorate candidates are required to apply for Confirmation of Candidature no later than three years after registration for part-time candidates and no later than two years after registration for part-time candidates studying Stage 1 on a full-time basis. (See Part C, section 7 for further details.)

For Students Registering prior to September 2015:

- 8.4 PhD candidates are required to apply for confirmation of candidature for PhD normally no later than two years after registration for full-time candidates and no later than four years after registration for part-time candidates.
- 8.5 MD (Res) candidates are required to apply for confirmation of candidature for MD (Res) normally no later than one year after registration for full-time candidates and no later than two years after registration for part-time candidates.
- 8.6 Professional Doctorate candidates are required to apply for Confirmation of Candidature no later than three years after registration for part-time candidates and no later than two years after registration for part-time candidates studying Stage 1 on a full-time basis. (See Part C, section 7 for further details.)

Submission Requirements

- 8.7 To apply for confirmation of candidature for PhD and MD (Res), all candidates are required to submit to the appropriate Faculty Research Degrees Subcommittee Secretary:

For Students Registering in September 2015 onwards:

(a) A report, of normally no more than 6,000 words, that evidences achievements and progress following the submission of the research proposal. The report should include:

- introduction, giving the context of the work
- research question and hypothesis
- section on methodology
- substantial piece of work towards the thesis objectives
- plan and timetable for the remainder of the work

The report should demonstrate to the satisfaction of the Faculty Research Degrees Subcommittee (or sub-group including the FRDSC Chair and two other members of the FRDSC):-

- evidence of originality in the research
- a significant contribution to knowledge
- the potential for a successful outcome at doctoral level

(b) Completed form RD4. The First Supervisor will nominate two internal assessors. A copy of the Turnitin Originality Report must be submitted with the RD4 form. These assessors must be independent of the supervisory team and have experience of supervising research degrees. At least one assessor must have knowledge and expertise in the subject area. The assessors must be approved by the Faculty Research Degrees Subcommittee. If there is no one within Anglia Ruskin University with the necessary knowledge and expertise an external assessor must be sought. The Chair of the Faculty Research Degrees Subcommittee shall be responsible for determining whether or not an external assessor is required.

For Students Registering prior to September 2015:

(a) A report, of no more than 3,000 words, that evidences achievements and progress following the submission of the research proposal. The report should include:

- a statement of the likely original contribution to knowledge
- an outline of the approach to the research/methodology/conceptual framework
- a critical review of the research undertaken to date
- an indicative thesis structure
- an action plan detailing the necessary steps to completion

(b) two examples of doctoral level work in progress. Where there is more than a single contributor to a publication, a signed statement by the candidate indicating the extent of the contribution by other collaborating researchers with reference to the contribution to design, analysis, conduct of the research and writing up of the publication, should be provided. Collaborators will be asked to endorse this statement. These examples could take the form of extracts from publications or two draft chapters, or other material relevant to the discipline. Taken together these examples should demonstrate to the satisfaction of the Faculty Research Degrees Subcommittee (or sub-group including the FRDSC Chair and two other members of the FRDSC):

- evidence of originality in the research
- a significant contribution to knowledge
- the potential for a successful outcome at doctoral level

- (c) completed form RD4. The First Supervisor will nominate two internal assessors. A copy of the Turnitin Originality Report must be submitted with the RD4 form. These assessors must be independent of the supervisory team and have experience of supervising research degrees. At least one assessor must have knowledge and expertise in the subject area. The assessors must be approved by the Faculty Research Degrees Subcommittee. If there is no one within Anglia Ruskin University with the necessary knowledge and expertise an external assessor must be sought. The Chair of the Faculty Research Degrees Subcommittee shall be responsible for determining whether or not an external assessor is required.

Exclusions from Independent Assessors

- 8.8 A relative/partner of the candidate or supervisors shall not be permitted to be appointed as an Independent Assessor.

Submission Requirements for Professional Doctorate

- 8.9 To apply for confirmation of candidature for DProf, see Part C, Section 7 for requirements.

Consideration of Application

- 8.10 Before the application is presented to the Faculty Research Degrees Subcommittee (or sub-group), candidates shall normally:
- (i) make an oral presentation of their work in progress to two assessors who are independent of the supervisory team (current or historical) and have experience of supervising research degrees. At least one assessor must have knowledge and expertise in the subject area. The assessors must be approved by the Faculty Research Degrees Subcommittee

OR

- (ii) make an oral presentation of their work in progress at a Faculty/Departmental research seminar or equivalent. The audience must include two assessors who are independent of the supervisory team and have been approved by the Faculty Research Degrees Subcommittee

In either case, evidence of the candidate's performance in the oral presentation will be taken into account by the Faculty Research Degrees Subcommittee (or sub-group) in considering the application.

Assessors will be sent a copy of the documentation submitted for Confirmation of Candidature in order to assist them in assessing the oral presentation. Candidates will be asked to give a 15 minute presentation, with questions following the presentation. The style of presentation will be at the candidate's discretion. The presentation should cover the following:-

- a brief résumé of the candidate's achievements in their research to date
- the candidate's plan for their research, together with a timescale, for achieving their doctorate
- justification that the research is at doctoral level

- 8.11 Up to two members of the supervisory team may be invited to attend the oral presentation, as observers, subject to the agreement of the candidate.
- 8.12 The entire submission will be considered in advance of the meeting by the assessors, who will be requested to provide written comments for consideration by the Faculty Research Degrees Subcommittee (or sub-group). The Faculty Research Degrees Subcommittee (or sub-group) has devolved authority to approve applications for Confirmation of Candidature.
- 8.13 The Faculty Research Degrees Subcommittee (or sub-group) will consider form RD4, the progress report, and the written comments of the assessors as recorded on form RD13 and evidence of the candidate's performance in the oral presentation as recorded on form RD13A. Consideration of the application cannot be undertaken by Chair's action, although the Faculty Research Degrees Subcommittee may agree that Chair's action can be undertaken to approve minor revisions to the application.
- 8.14 In exceptional circumstances only, and with the support of the supervisory team, candidates may be exempted from the Confirmation of Candidature requirements, subject to the approval of the Research Degrees Subcommittee (or the Chair acting on behalf of the Subcommittee).
- 8.15 In considering an application for Confirmation of Candidature, the Faculty Research Degrees Subcommittee (or sub-group) will ensure that the:
- (a) candidate's research is developing into an appropriate doctoral research topic of sufficient scope and depth
 - (b) candidate has identified the context of the research and how it relates to other work in the discipline
 - (c) candidate is demonstrating independent critical thinking
 - (d) candidate is demonstrating that the research will lead to a significant contribution to knowledge in the discipline
 - (e) candidate is acquiring appropriate research skills and techniques
 - (f) candidate has provided a realistic programme of future activities
- 8.16 A candidate registered for the degree of MPhil only, or PhD with progression from MPhil, may apply to progress the registration to PhD by following the process outlined above.
- 8.17 A candidate registered for the degree of MProf only may apply to progress the registration to DProf by following the process outlined in Part C, Section 7.
- 8.18 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 to the Faculty Research Degrees Subcommittee for the registration to be transferred to that for MPhil.
- 8.19 A candidate who is registered for the degree of MD (Res) and who fails to meet the requirements of confirmation of candidature will not be eligible for an award.

Unsuccessful Applications for Confirmation of Candidature for PhD, MD (Res) or DProf

- 8.20 If a candidate fails to make a successful application for confirmation of candidature for PhD, MD (Res) or DProf, the Faculty Research Degrees Subcommittee (or sub-group) may approve one opportunity for the candidate to revise the application. The revised

application must normally be submitted between 2-4 months (for full-time candidates) and between 4-6 months (for part-time candidates) of the meeting of the FRDSC (or sub-group) which considered the initial application unless there are exceptional circumstances which have prevented a candidate meeting this timescale.

- 8.21 If following resubmission the candidate's revised application for confirmation of candidature is not approved, the candidate's registration will be transferred to MPhil or MProf for Professional Doctorate candidates.

SECTION 9

THE WRITING UP STAGE

This section provides information about the criteria to be met in order to enter the Writing Up Stage and the process to be followed.

9.1 The Writing Up Stage is available to candidates for the awards of MPhil, PhD, MD (Res), MProf and Professional Doctorate (excluding PhD by Published Work). It is not compulsory for candidates to enter the Writing Up Stage. The Writing Up Stage is only exceptionally available to MD (Res) candidates who exceed the normal MD (Res) registration period of 2 years for full time candidates (or 3 years for part time candidates).

Criteria to be met in order to enter the Writing Up Stage

9.2 In order to enter the Writing Up Stage, candidates are required to complete form RD17 confirming that:-

- they have completed the minimum period of registration as set out in Section 4 of the Research Degrees Regulations
- they have completed the research analysis including all field and laboratory work (as appropriate)
- they will not need access to full University facilities such as laboratories, provision of a room or desk. On entering the Writing Up Stage access to facilities will be limited to the University Library, IT facilities and the supervisory team
- they have completed all research training and attended all compulsory workshops
- they have submitted to their first supervisor a draft of their thesis
- it is viable for their thesis to be submitted within the required timescales (set out below)

9.3 Retrospective requests for approval to enter the Writing Up Stage will not be considered.

9.4 Candidates will not be permitted to change mode of study once entering the Writing Up Stage.

9.5 Candidates submitting for a doctorate must have successfully completed Confirmation of Candidature before entering the Writing Up Stage.

Writing Up Stage Entry Points

- 9.6 Candidates may enter the Writing Up Stage at two points per year, determined by their month of entry (registration), as follows:

*For candidates registering **prior** to September 2015:*

Month of entry (registration)	Month of entry to Writing Up stage	Thesis submission deadline
September	September	31 August
	January	31 January
October	October	30 September
	March	28 February
November	November	31 October
	April	31 March
January	January	31 January
	June	31 May
February	February	31 January
	July	30 June
April	April	31 March
	September	31 August
May	May	30 April
	October	30 September
June	June	31 May
	November	31 October
July	July	30 June
	December	30 November

*For candidates registering **after** September 2015:*

Month of entry (registration)	Month of entry to Writing Up stage	Thesis submission deadline
September	September	31 August
	January	31 January
January	January	31 January
	June	31 May
April	April	31 March
	September	31 August
June	June	31 May
	November	31 October

Timescales

- 9.7 Both full-time and part-time candidates may remain in the Writing Up Stage for a maximum of twelve months. No extensions to these periods will be permitted unless there are exceptional and unforeseen circumstances which prevented formal submission of the thesis for examination within the Writing Up Stage. Candidates who have not formally submitted their thesis for examination will be withdrawn at the end of the Writing Up Stage.
- 9.8 Candidates wishing to enter the Writing Up Stage will need to have discussed with their supervisory team the viability of completing their thesis within the timescale (i.e. 12 months) prior to submitting their application. The application to enter the Writing Up

Stage will need to be submitted to the Secretary of the Faculty Research Degrees Subcommittee for consideration.

- 9.9 Where any student visa holder is considering applying for an extension to the Writing Up Stage, due to exceptional and unforeseen circumstances, they should seek advice from an International Student Adviser on the likely impact to their immigration status in the UK.

SECTION 10

THE THESIS

Submission of Thesis in English

10.1 The thesis shall be presented in English. Exceptionally, and with the approval of the Research Degrees Subcommittee, the thesis may be presented in a language other than English (see paragraph 3.22). Where a thesis is presented in a language other than English, a summary in English of a maximum of 1,000 words shall be included in the thesis.

The Abstract

10.2 There shall be an abstract of approximately 300 words on a single page bound into the thesis. The abstract should be single line spaced. The abstract should state the nature and scope of the work undertaken and of the contribution to knowledge in the discipline. The abstract should normally contain four separate paragraphs which shall clearly state:-

- what was investigated and why
- how the topic was investigated
- what was found
- what conclusions were drawn from the evidence

Candidates shall note, however, that there are other models of abstract writing that reflect the specific conventions of individual disciplines.

The Abstract shall conform to the specification at Annex 4.

Immediately after but on the same page as the abstract, the candidate shall identify three to six key words.

Acknowledgements

10.3 The candidate should acknowledge any funding or other support received whilst undertaking their research.

Source Material – Referencing

10.4 All sources referred to in the thesis must be included in the reference list. In some subjects a bibliography may be appropriate.

10.5 Anglia Ruskin University would expect candidates to normally use the Harvard Referencing System (or other accepted methods of referencing appropriate to the discipline) for citations and referencing throughout the thesis. However, it is recognised that different disciplines have different conventions. A Guide to the Harvard System of Referencing is available at the following web address:
<http://libweb.anglia.ac.uk/referencing/harvard.htm>.

Presentation of Collaborative Research

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

Inclusion of Published Work

10.7 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.¹

Copyright

10.8 The requirements of Anglia Ruskin University regarding copyright of a candidate's thesis are to be found in Annex 5 to these Regulations.

Maximum Word Limits

10.9 The text of the thesis should normally not exceed the following length:

for an MPhil in Science, Engineering, Art and Design	20,000 words
for an MPhil in Arts, Health, Social Sciences and Education	40,000 words
for a PhD in Science, Engineering, Art and Design	40,000 words
for a PhD in Arts, Health, Social Sciences and Education	80,000 words
for an MD by Research	50,000 words
for a Postgraduate Diploma in Professional Research written papers totaling	21,000 words
for a Professional Masters where Stage 1 papers included in the body of the thesis	50,000 words
where Stage 1 papers in appendices to the thesis	29,000 words
for a Professional Doctorate: where Stage 1 papers included in the body of the thesis	80,000 words
where Stage 1 papers in appendices to the thesis	59,000 words

10.10 The abstract, main text, tables and quotations should be included in the maximum word length. Appendices, reference lists and footnotes should not be included in the maximum word length.

10.11 If appropriate to the field of study, and subject to approval by the Faculty Director of Postgraduate Research Students at the start of the Programme, a candidate may submit, in lieu of a thesis, a portfolio ('the creative work') of original artistic or technological work undertaken during his/her period of registration. The work may take the form of, for example, objects, images, films, performances, musical compositions, webpages or software, but must be documented or recorded in the portfolio by means appropriate for the purposes of examination. Data not stored in a digital format will be housed by Anglia Ruskin in a secure location and available to be shared on request and in a timely manner. The portfolio must include written commentary on each item of artistic or technological work and/or an extended analysis or a dissertation on a related theme. The written commentaries and extended analysis or dissertation must together be no more than:

for an MPhil or Professional Masters	15,000 words
for a PhD or Professional Doctorate	40,000 words

¹ It is acceptable to self-reference elsewhere in the thesis if a published article explores a topic in more detail than is shown in the thesis, and it is acceptable to provide a list of published work. It is only the justification of one's own methods using publications that contain one's own methods that we will not accept.

- 10.12 The nature of the submission (whether written thesis or creative work accompanied by a commentary) should be specified in the research proposal and also in the application for confirmation of candidature.

Professional Doctorates

- 10.13 Candidates for Professional Doctorates may either attach their Stage 1 papers to their thesis as separate appendices or incorporate these materials in the body of their thesis. Examiners are expected to respect this choice which is available to candidates. The text for the thesis for a Professional Doctorate should normally not exceed 59,000 words (excluding Stage 1 papers) or 80,000 words where Stage 1 papers are included in the body of the thesis.

Professional Masters

- 10.14 Candidates for Professional Masters may either attach their Stage 1 papers to their thesis as separate appendices or incorporate these materials in the body of their thesis. Examiners are expected to respect this choice which is available to candidates. The text for the thesis for a Professional Masters should normally not exceed 29,000 words (excluding the written papers) or 50,000 words where the written papers are included in the body of the thesis.

Formal Requirements for the Thesis

- 10.15 Two copies of thesis shall normally be submitted in digital form – one in Word and one in pdf/a² format. These copies must be identical. The pdf/a version will be considered the final submitted version of the thesis. If the thesis falls under regulation 10.11, the 'creative' element may be submitted in portfolio or in digital format, as befits the material. The 'critical' element must be submitted in digital format.
- 10.16 The Examiners may request a printed copy of the thesis, which must comply with the requirements detailed in 10.17 and 10.18.
- 10.17 The following requirements shall be adhered to in the format of the submitted thesis.
- (a) The thesis shall normally be in A4 format; the Research Degrees Subcommittee may give permission for a thesis to be submitted in another format where it is satisfied that the contents of the thesis can be better expressed in that format. Special arrangements may be needed for those candidates with a declared disability and may be made in accordance with the Summary of Reasonable Adjustments.
 - (b) Double or one-and-a-half spacing shall be used in the typescript except for the abstract, indented quotations and footnotes where single spacing may be used
 - (c) Pages shall be numbered consecutively through the main text including photographs and/or diagrams included as whole pages
 - (f) The title page shall follow both the content and layout given in the specimen title page in Annex 6
 - (g) Between the title page and the first page of text it is necessary to include
 - (i) an acknowledgements page, numbered with Roman numerals, i.e. (i)

² PDF/A is a version of the Portable Document Format (PDF) specialised for the digital preservation of electronic documents. PDF/A differs from standard PDF in that it removes from the document those features ill-suited to long-term archiving.

- (ii) the abstract, numbered page (ii)
- (iii) the table of contents, whose pages will be numbered with Roman numerals sequentially from - (iii)
- (iv) the Table of Contents should show those parts and/or chapters and sections into which the work is divided. This should be followed by lists, with their respective page numbers, of tables and other appropriate supporting details in the order shown below:

List of Diagrams)	
List of Figures)	
List of Tables)	Numbered
Notation)	sequentially
Chronology of Events)	in Roman
Enclosed materials, i.e. tapes, films)	numerals
References)	
List of Appendices)	

- (v) copyright declaration (see Annex 5)
- (i) start of main text
- (j) following main text references, bibliography and appendices

10.18 Where a printed copy is requested by the Examiners, the following additional requirements shall be adhered to in the format of the submitted thesis:

- (a) Copies of the thesis shall be presented in a permanent and legible form either in typescript or print. Candidates should note that they may also be asked to provide an electronic copy of their thesis and that the thesis may be subject to checking by detection software to ensure there is no evidence of plagiarism. The size of character used in the main text, including displayed matter and notes, shall normally be equivalent to Arial 11 or Times New Roman 12 font.
- (b) The thesis shall be printed on one side of the page only; the paper shall be white and within the range 70 g/m² to 100 g/m²
- (c) The margin at the left-hand edge of the page shall not be less than 40mm; other margins shall not be less than 15mm

Dissemination of Research Findings

10.19 Following examination and the incorporation of any amendments which the examiners require, the Anglia Ruskin University Institutional Repository copy shall be as follows:

- (a) Submitted in a digital format, within one month of confirmation of the award.
- (b) Accompanied by the completed Thesis Deposit Agreement Form which confirms your agreement to have your thesis published with the Institutional Repository (ARRO) and for the thesis to be harvested from ARRO by the British Library for inclusion in their British universities theses database, EThOS (Electronic Theses Online Service)

10.20 Once the thesis is deposited digitally within ARRO the copyright agreement (see annex 5) will come into effect.

SECTION 11

THE CANDIDATE'S RESPONSIBILITIES IN THE EXAMINATION

General

- 11.1 The Research Degrees Unit, Academic Office of Anglia Ruskin University will make known to the candidate the procedure to be followed for the submission of the thesis (including the number of copies to be submitted for the examination) and any conditions to be satisfied before the candidate may be considered eligible for the examination.
- 11.2 Where the external examiner has requested a hard copy of the thesis, the candidate shall ensure that copies of the thesis are submitted for each examiner and the chair of the oral examination to the Research Degrees Unit, Academic Office before the expiry of the registration period.

Candidate's Exclusion from the Examination Arrangements

- 11.3 The candidate shall take no part in the arrangement of the examination and shall have no formal contact with the external examiner(s) between the appointment of the examiners and the submission of the final version of the thesis following examination.

Eligibility for Examination

- 11.4 The candidate shall satisfy any conditions of eligibility for examination required by the Research Degrees Subcommittee.

Required Format for Submission of the Thesis for Examination

- 11.5 The candidate shall ensure that the format and presentation of the thesis, as submitted for examination, is in accordance with the requirements of Anglia Ruskin University's regulations (see paragraphs 10.15-10.18).

Creative Work

- 11.6 In cases where the research degree involves creative work in addition to the written thesis, the application for approval of the examination arrangements shall contain a statement from the candidate of the scope and nature of the creative work and advice of the proposed method of assessment. All candidates are required to have a *viva voce* examination in addition to an examination of their creative work.

Declaration by Candidate

- 11.7 The candidate shall confirm, through the completion of a declaration form, that the thesis has not been submitted for a comparable academic award. The candidate shall not be precluded from incorporating in the thesis, covering a wider field, work which has already been submitted for a degree or comparable award, provided that it is indicated, on the declaration form and also in the thesis, which work has been so incorporated. Candidates for the degree of PhD by Published Work may incorporate publications which have already been submitted for a degree or comparable award, provided they are listed on the declaration form and there is evidence within the thesis of additional work.

Submission of Thesis

- 11.8 Candidates shall be responsible for deciding whether to submit the thesis for examination. This decision should take account of the opinion of the supervisory team. The supervisory team's opinion is advisory only. An opinion that the thesis is ready for submission must not be taken as a guarantee that a degree will be awarded and a decision to award a degree rests wholly with the examining team. The supervisor has the right to record onto the RD9 form that they do not support submission of the thesis in its current form.

Mitigating Circumstances

- 11.9 The candidate shall bring any mitigating circumstances which may have affected his/her research work to the attention of the examiners by writing to the Secretary of the Research Degrees Subcommittee prior to the oral examination. A statement of mitigating circumstances shall be supported by appropriate evidence. Mitigating circumstances which could have been brought to the attention of the examiners prior to the oral examination will only very exceptionally be admitted later as grounds for a review.

Confidential Thesis (see also paragraphs 3.23-3.25)

- 11.10 Where Anglia Ruskin University's Research Degrees Subcommittee has approved a candidate's request for confidentiality of the thesis, the examiners and the chair will be required to sign a Confidentiality Agreement and to return copies of the thesis to the candidate at the conclusion of the examination. These obligations do not apply to any information which is public knowledge at the time of its disclosure.

The Viva Voce Examination

- 11.11 Candidates are required to attend the *viva voce* examination on the agreed date unless there are exceptional and unforeseen circumstances which prevent attendance.
- 11.12 The *viva voce* examination should take place within 12 calendar months of submission of the thesis.
- 11.13 In exceptional circumstances candidates may be permitted to give a presentation as part of their *viva voce* examination by prior agreement with the examiners.

SECTION 12

THE EXAMINERS

Appointment of the Examiners

12.1 Following a candidate's successful progression or confirmation of candidature, the examiners should be proposed by the supervisory team, in consultation with the candidate.

Size and Composition of Examining Team

12.2 A candidate shall normally be examined by one external and one internal examiner or two external examiners where no suitable internal examiner is available. Where more than two examiners are appointed, the majority are generally from outside Anglia Ruskin University. Where the candidate is a member of staff of Anglia Ruskin University there shall be two external examiners and no internal examiner. Where the candidate is being examined for a Doctor of Medicine by Research, one examiner must be an appropriately qualified medical practitioner.

External Examiners

12.3 An external examiner shall be independent of Anglia Ruskin University, an Associate College and of the collaborating establishment and shall not have acted previously as the candidate's supervisor or adviser. Former members of staff and former doctoral candidates of Anglia Ruskin University shall normally not be approved as external examiners until three years after the termination of their employment or date of their award with Anglia Ruskin University.

12.4 A research student's external supervisor is not eligible to act as an external examiner for any research students during the term of their appointment as external supervisor or for 3 years after the end of their period of appointment.

Internal Examiners

12.5 An internal examiner shall be defined as an examiner who is:

- (a) a member of staff of Anglia Ruskin University or Associate College or
- (b) a member of staff of the candidate's collaborating establishment

Examiners' Experience

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

12.7 The examining team shall have substantial experience of examining research degree candidates at, or above, the level of the award for which they have been appointed to examine (i.e. normally have examined at least three research degree candidates, one of which must have been for a UK Higher Education Institution). In addition each examiner shall normally have supervisory experience and normally one examiner will have supervised to completion at, or above, the level of award for which they have been appointed to examine.

12.8 In an examination for a Professional Doctorate the examining team shall have experience of examining Professional Doctorate candidates (i.e. normally have examined at least one Professional Doctorate candidate).

12.9 In an examination for a Doctor of Medicine by Research the examining team shall have experience of examining Doctor of Medicine candidates (i.e. normally have examined at least one Doctor of Medicine candidate), and one examiner must be an appropriately qualified medical practitioner.

Exclusion from Examining Teams

12.10 No candidate for a research degree within Anglia Ruskin University or Associate Colleges shall act as an examiner.

12.11 Anyone who has supervised the candidate may not be appointed as an examiner for that candidate.

12.12 Anyone who is related to the candidate or member of the supervisory team may not be appointed as an examiner for that candidate.

12.13 The Research Degrees Subcommittee shall ensure that the same external examiner is not approved so frequently that the examiner's familiarity with the department might prejudice objective judgement. Normally, an external examiner shall examine no more than three research degree candidates over a period of three years at Anglia Ruskin University.

12.14 Where two external examiners are required to be appointed for an individual candidate they may not be employed by the same institution.

Approval of Appointment of Examiners

12.15 The appointment of examiners shall be approved by the Research Degrees Subcommittee, or the Chair acting on behalf of the Research Degrees Subcommittee.

Fees and Expenses for External Examiners

12.16 Anglia Ruskin University shall determine and pay the fees and reasonable expenses of the examiners.

SECTION 13

FIRST EXAMINATION

General

- 13.1 The examination for the MPhil, PhD and MD (Res) shall have two stages: firstly the submission and preliminary assessment of the thesis and secondly its defence by oral or approved alternative examination.
- 13.2 The examination for a Professional Doctorate or Professional Masters shall have three stages: first the submission of written papers totalling 21,000 words which constitute Stage 1 of this award and which has to be passed before a candidate may progress to Stage 2; secondly in Stage 2, the submission and preliminary assessment of the thesis and, thirdly, its defence by oral examination or other approved alternative examination.
- 13.3 The Research Degrees Subcommittee shall ensure that all examinations are conducted, and the recommendations of the examiners are presented, wholly in accordance with Anglia Ruskin University's regulations. In any instance where the Research Degrees Subcommittee is made aware of failure to comply with all the procedures of the examination process, it may declare the examination null and void and appoint new examiners.
- 13.4 The Research Degrees Subcommittee (or its Chair, acting on behalf of the Committee) shall make a decision on the reports and recommendation(s) of the examiners in respect of the candidate. The power to confer the degree shall rest with the Research Degrees Subcommittee, acting on behalf of the Senate of Anglia Ruskin University.

Disability

- 13.5 Special arrangements may be needed for those candidates with a declared disability and may be made in accordance with the Summary of Reasonable Adjustments.

Posthumous Awards

- 13.6 The degree of Postgraduate Diploma in Professional Research, Professional Masters, MPhil, PhD, MD (Res) or a Professional Doctorate may be awarded posthumously on the basis of a thesis completed by a candidate who is ready for submission for examination. In such cases the Research Degrees Subcommittee shall seek evidence that the candidate would have been likely to have been successful had the oral examination taken place.

Assessment Criteria for Research Degrees

- 13.7 The following criteria are normally used in assessing research degrees candidates and their research and examiners will need to be satisfied that:
 - (a) the candidate has identified a suitable postgraduate research topic and successfully completed a programme of training in research techniques and methodology (including, where appropriate, conformity with the ethics, legal and safety requirements, as set out by Anglia Ruskin University);
 - (b) the candidate has a satisfactory knowledge of the background literature and is able to relate the project to existing scholarship and research in the field;

- (c) the thesis is the candidate's own work and is presented in a satisfactory manner (grammar, punctuation, spelling, clarity of expression, logical argument and appropriate language);
- (d) the thesis contains technical apparatus (abstract, preface and acknowledgements, footnotes, references, appendices, statistical tables, diagrams, illustrations, bibliography) set out according to the conventions of the field of study;
- (e) the **MPhil thesis** displays appropriate evidence of:
 - originality and independent critical judgement
 - and
 - demonstrates an understanding of research methods appropriate to the chosen field
- (f) the **PhD thesis** displays appropriate evidence of:
 - originality and independent critical judgement
 - and
 - constitutes a contribution to subject knowledge in the research field
- (g) the detailed assessment criteria for the award of the Doctor of Medicine by Research are set out in Part E of these Regulations.
- (h) the detailed assessment criteria for the awards of the Professional Doctorate, Professional Masters and Postgraduate Diploma in Professional Research are set out in Part C of these Regulations.
- (i) the expectations set out in the QAA Qualification Descriptors, which can be found in Annex 1, have been met.

Preliminary Assessment of the Thesis

- 13.8 The Research Degrees Unit, Academic Office, shall send a copy of the thesis to each examiner normally one to three months prior to the date of the viva, together with the examiner's preliminary report form (Form RD6 or RD7) and Anglia Ruskin University's Research Degrees Regulations and the Notes of Guidance for Examiners, and ensure that the examiners are properly briefed as to their duties.
- 13.9 Each examiner will read the thesis and provide an independent preliminary report on the thesis to the Research Degrees Subcommittee before any oral or alternative form of examination is held. In completing the preliminary report, each examiner shall consider whether the thesis provisionally satisfies the requirements of the degree (as set out in paragraph 13.7) and where possible shall make an appropriate provisional recommendation subject to the outcome of an oral examination.
- 13.10 The Research Degrees Unit, Academic Office shall ensure that normally all examiners have completed and returned their preliminary reports to Anglia Ruskin University at least ten working days before the oral examination takes place.
- 13.11 The Research Degrees Unit, Academic Office shall send each examiner a copy of the examiners' preliminary reports before the examination date. Examiners are required to keep the preliminary reports confidential and any breach of confidentiality may invalidate the examination.

Dispensing with the Oral Examination

13.12 Where all the examiners are independently of the opinion that the thesis is so unsatisfactory that no useful purpose would be served by conducting an oral examination, they may recommend in their preliminary reports that the Research Degrees Subcommittee dispense with the oral examination and refer the thesis for further work. In such cases the examiners shall provide the Research Degrees Subcommittee with written guidance for the candidate concerning the deficiencies of the thesis. The examiners shall not recommend that a candidate fail outright (see paragraph 13.23 (k)) without holding an oral examination. The Research Degrees Subcommittee will normally agree that the resubmitted thesis should be submitted within twelve months.

Outright Failure

13.13 Where the Research Degrees Subcommittee decides at the oral examination that the degree be not awarded and that no re-examination be permitted, the examiners shall prepare an agreed statement of the deficiencies of the thesis and the reason for their recommendation, which shall be forwarded to the candidate by the Secretary to the Research Degrees Subcommittee.

The Oral Examination

13.14 It is the responsibility of the Research Degrees Unit, Academic Office to make all the necessary arrangements for the oral examination. This will include agreeing the date of the oral examination and notifying the candidate, examiners, supervisors and independent Chair in writing of the date and the arrangements for the oral examination.

13.15 The oral examination shall normally be conducted within three months from the date of receipt of the thesis by the examiners. The oral examination shall not normally be arranged less than one month from the date of receipt of the thesis by the examiners in order to give the examiners a reasonable period in which to assess the work.

13.16 The oral examination shall normally be held in the UK (on University or Associate College premises). In exceptional and unforeseen circumstances the Research Degrees Subcommittee may give approval for the examination to take place elsewhere or abroad or by video conference.

13.17 Up to two members of the supervisory team (possibly for training purposes) and the Chair of the Research Degrees Subcommittee may, with the consent of the candidate, attend the oral examination, but shall withdraw prior to the deliberations of the examiners on the outcome of the examination. It is not permissible for any other persons to be present in the examination room, subject to the provisions of the Special Educational Needs and Disability Act 2001.

13.18 Supervisors should not contribute to the oral examination unless specifically invited to do so by the examiners or the Chair. After the candidate has left the room at the end of the examination, the examiners or the Chair may invite the supervisor back into the room to clarify any outstanding issues arising from the examination.

The Role of the Chair

13.19 Each examination shall be chaired by a member (or nominee) of the Research Degrees Subcommittee. Training is provided for newly appointed chairs on the role to ensure that the assessment processes are operated rigorously, fairly, reliably and consistently. The Chair shall have a neutral role in the assessment process and take no part in the actual assessment of the thesis. The Chair will be responsible for hosting the

examination on behalf of Anglia Ruskin University and advise the examiners and/or the candidate on Anglia Ruskin University's regulations, procedures, policy and practice.

Examiners' Pre Meeting

13.20 Prior to the examination the examiners will meet with the independent Chair to consider their preliminary reports and the candidate's thesis. The examiners will also clarify the issues which they collectively, or independently, wish to raise with the candidate. The examiners should also agree the structure of their questioning and the time frame in which they hope to complete the oral examination.

Examiners' Action following the Examination

13.21 Following the oral examination the examiners shall, where they are in agreement, submit to the Research Degrees Unit, Academic Office a joint report and recommendation relating to the award of the degree within 10 working days.

13.22 The preliminary reports and joint recommendation of the examiners shall together provide sufficiently detailed comments on the scope and quality of the work to enable the Research Degrees Subcommittee to satisfy itself that the recommendation chosen in paragraph 13.23 is correct. Where the examiners are not in agreement, separate reports and recommendations shall be submitted.

Recommendations Available to the Examiners

13.23 Following the completion of the oral or approved alternative examination the examiners may recommend that:

- (a) the candidate be awarded the degree
- (b) the candidate be awarded the degree subject to minor amendments being made to the thesis (see paragraphs 13.25 to 13.27)
- (c) the candidate be permitted to re-submit for the degree and be re-examined with an oral examination
- (d) the candidate be permitted to re-submit for the degree and be re-examined without an oral examination
- (e) in the case of a PhD examination, the candidate be awarded the degree of MPhil subject to the presentation of the thesis amended to the satisfaction of the examiners and which must meet the criteria for the award of MPhil as set out in paragraph 13.7(e) and in Annex 1
- (f) in the case of a DProf examination, the candidate be awarded the degree of MProf subject to the presentation of the thesis amended to the satisfaction of the examiners and which must meet the criteria for the award of MProf as set out in section C, paragraphs 9.9 to 9.17 and in Annex 1
- (g) in the case of a PhD examination, the candidate be permitted to re-submit for the degree of MPhil with an oral examination
- (h) in the case of a DProf examination, the candidate be permitted to re-submit for the degree of MProf with an oral examination
- (i) in the case of a PhD examination, the candidate be permitted to re-submit for the degree of MPhil without an oral examination

- (j) in the case of a DProf examination, the candidate be permitted to re-submit for the degree of MProf without an oral examination
- (k) the candidate be not awarded the degree and be not permitted to be re-examined (see paragraph 13.28); or

13.24 The examiners shall inform the candidate of their recommendations to the Research Degrees Subcommittee but must make it clear that the final decision rests with the Research Degrees Subcommittee.

Minor Amendments to the Thesis

13.25 Where the examiners are satisfied that the candidate has in general reached the standard required for the degree, but consider that the candidate's thesis requires additional explanatory information or some minor amendments and corrections not so substantial as to call for the submission of a revised thesis, they may recommend that the degree be awarded subject to the candidate amending the thesis to the satisfaction of the internal and/or the external examiner(s) (paragraph 13.23(b)). They shall indicate to the candidate in writing what amendments and corrections are required within ten working days of the oral examination.

13.26 The candidate should be able to undertake minor amendments with minimal supervision. Minor corrections that are permissible include typographical errors, minor amendments and/or replacement of, or additions to the text, references or diagrams. Other more extensive corrections may be made as long as they do not require significant (as defined by the examiners) re-working or re-interpretation of the intellectual content of the thesis.

13.27 Where minor amendments are required (as in paragraph 13.23(b), (e) and (f) above) the candidate must normally submit the corrected thesis within a maximum of six months from the date the examiners' feedback is sent to the candidate. The Research Degrees Subcommittee may, where there are exceptional reasons, approve an extension of this period. When candidates submit the corrected thesis they shall attach a summary of the changes they have made identifying where the changes can be found in the corrected thesis.

Failure at First Examination

13.28 Where the Research Degrees Subcommittee decides that the degree be not awarded and that no re-examination be permitted, the examiners shall prepare an agreed statement of the deficiencies of the thesis and the reason for their recommendation, which shall be forwarded to the candidate by the Secretary to the Research Degrees Subcommittee.

Where Recommendations are not Unanimous

13.29 Where the examiners' recommendations are not unanimous, the Faculty will be invited to nominate an additional examiner to consider the thesis. This nomination will be considered by the Chair of the Research Degrees Subcommittee for approval by Chair's action.

13.30 Where an additional external examiner is appointed under paragraph 13.29, they shall prepare an independent preliminary report on the basis of the thesis and a further oral examination. That examiner will not be informed of the recommendations of the other examiners. On receipt of the report from the additional examiner it will be considered by the Chair of the Research Degrees Subcommittee.

Conferment of the Award

13.31 The Research Degrees Subcommittee (or the Chair acting on behalf of the Subcommittee) shall receive the recommendations of the examiners and shall, if appropriate, endorse the decision to confer the award. The power to confer or not confer the award shall rest with the Research Degrees Subcommittee acting on behalf of the Research Committee and the Senate of Anglia Ruskin University.

Research Degree Certificates

13.32 Conferment of an award is withheld from any student who has not fulfilled a legitimate requirement of Anglia Ruskin University, including the settlement of any outstanding debt to Anglia Ruskin University or to an Associate College at which the student has studied in partial or complete fulfilment of the academic requirements of the course for which the student is registered.

13.33 Anglia Ruskin University provides an award certificate to each student on whom it confers an award.

13.34 Such certificates record:

- the name of Anglia Ruskin University;
- the full name of the student as entered on Anglia Ruskin University's Student Record System. It is the responsibility of the student to ensure that his/her name is correctly entered;
- the award title as defined in the Research Degrees Regulations;
- the month and year that the Research Degrees Subcommittee, or Chair, endorses the recommendation to confer the award;
- subject to the prior approval of the Senate, the name of any Associate College with whom Anglia Ruskin University has collaborated in relation to the named award; *[NB: this currently does not apply to any Associate College].*

13.35 The certificate bears the signature of the Vice-Chancellor.

13.36 The Director of the Academic Office (or nominee) is responsible for the provision of all award certificates, prepared in secure conditions and in a format designed to minimise the risk of forgery.

13.37 The Director of the Academic Office (or nominee) is also responsible for maintaining a record of the names of all recipients of an academic award conferred by Anglia Ruskin University.

13.38 Following the conferment of the award the candidate will be invited by the Assessment Unit in the Academic Office to attend a graduation ceremony. Certificates will be sent out to candidates from the Assessment Unit in the Academic Office by Recorded Delivery.

Retracting an Anglia Ruskin Award after Conferment

13.39 On rare occasions, it may become apparent that an Anglia Ruskin award has been conferred on a student who was admitted to Anglia Ruskin University on the basis of forged documents, or who has gained an unfair advantage in some other way. Alternatively, some other form of deception has occurred.

13.40 In the event that such evidence comes to light, the matter is referred to the Secretary & Clerk who considers the evidence and is responsible for determining whether a case exists against the holder of the award. Where the Secretary & Clerk considers there to be insufficient evidence, the matter is dropped and no further action is taken.

13.41 If the Secretary & Clerk considers that a case does exist, he/she discusses the matter with the Vice-Chancellor who together determine the most appropriate action to take. In reaching this decision, the Vice-Chancellor and Secretary & Clerk consider the need to maintain the integrity and reputation of Anglia Ruskin's awards and academic standards. Such action can include the retraction of any or all awards already conferred by Anglia Ruskin and formal notification of such action to relevant Professional Statutory and Regulatory Bodies. The Director of the Academic Office maintains a record of such decisions and these are reported to the next scheduled meeting of the Senate.

SECTION 14

RE-EXAMINATION

Requirements for Re-examination

- 14.1 One re-examination may be permitted by the Research Degrees Subcommittee, subject to the following requirements:
- (a) a candidate who fails to satisfy the examiners at the first examination may, on the recommendation of the examiners and with the approval of the Research Degrees Subcommittee, be permitted to revise the thesis and be re-examined.
 - (b) the examiners shall provide the candidate, through the Research Degrees Subcommittee, with written guidance on the deficiencies of the first submission. It is important that the examiners in their written guidance explicitly identify:
 - the deficiencies of the thesis
 - the remedial action required (including any additional research or experimental work)
 - the agreed timescale to carry out this work (up to 12 months)
- Examiners cannot require candidates to undertake any additional work which was not specified in their written guidance. Anglia Ruskin University reserves the right to seek further details on the remedial action, if this is deemed necessary.
- (c) the candidate shall submit for re-examination within the period of one calendar year from the date the examiners' feedback is sent to the candidate. Where the Research Degrees Subcommittee has dispensed with the oral examination the resubmission of the thesis shall take place within one calendar year of the date of this dispensation (see paragraph 13.12). The Research Degrees Subcommittee may, where there are good reasons, approve an extension of the resubmission period.
 - (d) When candidates resubmit their thesis they shall attach a summary of the changes they have made identifying where the changes can be found in the resubmitted thesis.
- 14.2 Candidates who are required to resubmit their thesis must produce an action plan to address the issues raised by the examiners.
- 14.3 The Research Degrees Subcommittee may require that an additional external examiner be appointed for the re-examination.
- 14.4 The submission of the revised thesis, the re-examination process and the approval of the examiners recommendations shall be conducted in accordance with the timescales and requirements of the first examination (section 13).
- 14.5 Examiners are required to submit their recommendations on the resubmitted thesis within four to six weeks of receiving it.
- 14.6 Where the examiners' recommendations are not unanimous at the resubmission stage, the reports will be shared with each examiner and the examining team will be asked to consult and to make every effort to provide a joint recommendation to the Research Degrees Subcommittee.

Where the Examiners are unable to reach a Joint Recommendation

- 14.7 Where the examiners' recommendations are not unanimous, the Faculty will be invited to nominate an additional examiner to consider the thesis. This nomination will be considered by the Chair of the Research Degrees Subcommittee for approval by Chair's action.
- 14.8 Where an additional external examiner is appointed under paragraph 14.7, they shall prepare an independent preliminary report on the basis of the resubmitted thesis and a further oral examination. That examiner will not be informed of the recommendations of the other examiners. On receipt of the report from the additional examiner it will be considered by the Chair of the Research Degrees Subcommittee.

Forms of Re-examination

14.9 There are six forms of re-examination:

- (a) where the candidate's performance in the first oral or approved alternative examination was satisfactory but the thesis was unsatisfactory and the examiners on re-examination certify that the thesis as revised is satisfactory, the Research Degrees Subcommittee may exempt the candidate from further examination, oral or otherwise
- (b) where the candidate's performance in the first oral or approved alternative examination was satisfactory but the thesis was unsatisfactory, any re-examination shall include a re-examination of the thesis and may, on the recommendation of the examiners include an oral examination
- (c) where the candidate's performance in the first oral or approved alternative examination was unsatisfactory and the thesis was also unsatisfactory, any re-examination shall include a re-examination of the thesis.
- (d) where on the first examination the candidate's thesis was so unsatisfactory that the Research Degrees Subcommittee dispensed with the oral examination, any re-examination shall include a re-examination of the thesis and an oral examination
- (e) where on the first examination the candidate's thesis was satisfactory but the performance in the oral and/or other examination(s) was not satisfactory the candidate shall be re-examined in the oral and/or other examination(s), subject to the time limits prescribed in paragraph 14.1(c), without being requested to revise and re-submit the thesis
- (f) where on the first examination the thesis was satisfactory but the candidate's performance in relation to the other requirements for the award of the degree was not satisfactory, the examiners may propose instead a different form of re-examination to test the candidate's abilities; such examination may take place only with the approval of the Research Degrees Subcommittee.

Outcomes on Re-examination

14.10 Following completion of the re-examination the examiners may recommend that:

- (a) the candidate be awarded the degree

- (b) the candidate be awarded the degree subject to minor amendments being made to the thesis (see paragraphs 13.24-13.26)
- (c) In the case of a PhD examination, the candidate be awarded the degree of MPhil with or without minor amendments and which must meet the criteria for the award of MPhil as set out in paragraph 13.7(e) and in Annex 1
- (d) In the case of a DProf examination, the candidate be awarded the degree of MProf with or without minor amendments and which must meet the criteria for the award of MProf as set out in Section C, paras 9.9-9.17 and in Annex 1.

Failure on Resubmission

- 14.11 The Research Degrees Subcommittee may decide, on the recommendation of the examiners, that the degree be not awarded and that no re-examination be permitted. In such cases, the examiners shall prepare an agreed statement of the deficiencies of the thesis and the reason for their recommendation, which shall be forwarded to the candidate by the Secretary to the Research Degrees Subcommittee.
- 14.12 Normally a candidate shall have only one opportunity to resubmit their thesis and to be re-examined. In exceptional circumstances only and, on the recommendation of the examiners, a candidate may be permitted a second resubmission. The case shall require the approval of the Research Degrees Subcommittee (i.e. not by Chair's action).

SECTION 15

REVIEW OF AN EXAMINATION DECISION

General

- 15.1 A candidate may in the circumstances set out below request a review of an examination decision, whether at the first examination or re-examination.
- 15.2 A request for a review may only be made in relation to a decision of the Research Degrees Subcommittee made on the recommendation of the examiners. Given the existence of procedures for complaint and grievance during the study period (Section 16), alleged inadequacy of supervisory or other arrangements during the period of study shall not constitute grounds for requesting a review of the examination decision.

Grounds for Requesting a Review of an Examination Decision

- 15.3 A request for a review of an examination decision may only be made on the following grounds:
- (a) that there were circumstances affecting the candidate's performance of which the examiners were not aware at the oral examination; and/or
 - (b) that there is evidence of procedural irregularity in the conduct of the examination (including administrative error) of such a nature as to cause doubt as to whether the result might have been different had there not been such irregularity; and/or
 - (c) that there is evidence of unfair or improper assessment on the part of one or more of the examiners; a candidate may not otherwise challenge the academic judgement of the examiners
- 15.4 A request for a review of an examination decision based on ground 15.3(a) above, will not normally be allowed unless:
- (a) a medical certificate or other documentary evidence acceptable to the examiners is produced; and
 - (b) valid reason can be shown why the candidate was unable or unwilling to make the relevant facts known to the examiners before the original decision was taken

Time Limit for Requesting a Review of an Examination Decision

- 15.5 The candidate shall give notice, in a letter to the Secretary of the Research Degrees Subcommittee and within 25 working days from the date of notification of the result of the examination shall submit the case for review.

Procedure for Considering a Request for a Review of an Examination Decision

- 15.6 The request for a review shall first be considered by the Chair of the Research Degrees Subcommittee, who may consult with relevant colleagues, and who shall determine whether there is a case for a review. If it is considered that the request is clearly frivolous, vexatious or outside the permitted grounds, the Secretary to the Research

Degrees Subcommittee shall inform the candidate in writing within 10 working days that there is no case for a review and the reasons for this decision.

- 15.7 If the candidate is dissatisfied with the decision of the Chair of the Research Degrees Subcommittee, the candidate may request in writing that it be reviewed by the Vice Chancellor or representative. Any such request must be received in writing within ten working days of the despatch of the decision by the Secretary of the Research Degrees Subcommittee. The decision of the Vice Chancellor shall be final.
- 15.8 If it is considered that there is a case for a review the Secretary to the Research Degrees Subcommittee shall gather such evidence as is considered appropriate to assist a review panel in reviewing the case. This may include seeking written or oral testimony from the examiners and the independent Chair, from other persons present at the oral examination, from supervisors or other members of the academic staff, or further evidence or statements by way of elucidation from the candidate.
- 15.9 The request for a review shall be considered by a panel of at least three members, constituted by the Research Degrees Subcommittee, who possess experience of supervising and examining research degrees. At least one member of the Panel shall have significant experience of research degree examining. Panel members shall not include the Director of Research or Director of Research Students of the Faculty in which the candidate is registered or members of staff with previous involvement with the supervision of the candidate. No student or research degree candidate shall be a member of a research degree Review Panel. The Review Panel shall meet within six weeks of confirmation that there is a case for a review. A confidential record of the hearing will be made by the Secretary to the Panel, appointed by the head of the Research Degrees Unit, Academic Office. The Secretary will be responsible for communicating the result of the hearing to all parties concerned.
- 15.10 The Review Panel shall hear the case. The conduct of the hearing is at the discretion of the Chair, but the candidate shall have the right to:
- (a) submit written representations
 - (b) appear at the hearing
 - (c) call witnesses
 - (d) examine any witness called
 - (e) be accompanied by a friend or a member of their supervisory team
- 15.11 Neither Anglia Ruskin University nor the student whose case is being heard is legally represented during the conduct of a hearing.
- 15.12 If the Review Panel decides that a candidate has valid grounds for a review, then it shall, in consultation with the examiners, recommend to the next meeting of the Research Degrees Subcommittee one of the following:
- that the candidate be given the opportunity to be examined as a first attempt, where a candidate's performance in the original viva was affected. This may be with or without a viva voce examination
 - that the candidate be given a further resubmission, with or without a viva voce examination

- 15.13 If the examiners are not willing to accept the recommendation of the Review Panel, the Research Degrees Subcommittee may appoint new examiners to consider the resubmitted thesis.
- 15.14 If the Review Panel decides that a candidate does not have valid grounds for a review the original decision of the examiners will be upheld.
- 15.15 There shall be no appeal against the decision of the Review Panel.
- 15.16 A review panel shall not be constituted as an examination board and shall not have the authority to set aside the decision of the Research Degrees Subcommittee and thereby to recommend the award of the degree.

SECTION 16

COMPLAINTS

- 16.1 Anglia Ruskin University has a formal Student Complaints Procedure (Annex 8) which is published in the 'Rules, Regulations and Procedures for Students' document published at http://web.anglia.ac.uk/anet/staff/sec_clerk/rul_regs.phtml.

PART B

Regulations for the Award of Anglia Ruskin University's Degree of Doctor of Philosophy on the basis of Published Work

1. INTRODUCTION

Introduction

- 1.1 The principles, procedures and regulations in this section were approved by Senate and became effective from February 1998.

Comparability of Academic Standards

- 1.2 Anglia Ruskin University will ensure that its awards for the degrees of Master of Philosophy on the basis of published work or Doctor of Philosophy on the basis of published work are comparable in standard with those conferred throughout higher education in the United Kingdom and consistent with the QAA Framework for Higher Education Qualifications (see Annex 1). This is achieved through the appointment of external panel members with relevant knowledge and expertise, to serve on Approval Panels and independent, experienced external examiners to examine candidates. Approval Panel members will be provided with copies of QAA Qualification Descriptors for Masters and Doctoral degrees and the QAA Doctoral Degree Characteristics. These Descriptors and Characteristics are also included in the Notes of Guidance for Examiners of Postgraduate Research Degree Examination and Chairs of Postgraduate Research Degrees Examinations.

2. PRINCIPLES

Principle of Award

- 2.1 A PhD by Published Work is awarded to a candidate who, having already published work which has demonstrated an understanding of research methods appropriate to the field and an independent and original contribution to knowledge, defends that same published work and its critical appraisal, to the satisfaction of the examiners.

Definition of Published Work

- 2.2 For the purpose of these Regulations “published work” shall refer to research papers, chapters, monographs, books, scholarly editions of a text, edited collections of essays or other materials, software and creative work (which may be in any field including fine art, design, architecture, music, composition, dance or performance) or other original artefacts. The precise selection of work undertaken by the candidate will depend upon the discipline concerned.
- 2.3 For the purpose of these Regulations, a work shall be regarded as published only if it is traceable through ordinary catalogues, abstracts or citation indices and copies are available to the general public. Proofs of works not yet accepted for publication are notmissible. Candidates may refer to other works in their critical appraisal that were not published at the time of the *prima facie* case. Only the publications submitted for the *prima facie* case may form the submission. Memoranda and reports to Government Departments, local or industrial organisations are notmissible unless they have been published and are publicly available.

Research Collaboration

- 2.4 Where any work submitted for the degree has been written in collaboration with others, a statement clearly indicating the intellectual and practical input by such persons must be submitted with the candidate’s application for registration and collaborators will be asked to endorse this statement.

Currency of Publications

- 2.5 The publications submitted for the degree shall normally have been published within the last ten years and should demonstrate a continuing record of publication normally within the last two years.

Declaration by Candidate

- 2.6 The publications shall not have been submitted by the candidate for a research degree of any other institution and a declaration to this effect must be submitted by the candidate at the time of application for registration (subject to Part A, paragraph 11.7).

Submission in English

- 2.7 Candidates must present and defend the submitted work in English unless the prior permission of the Research Degrees Subcommittee has been given. Permission to present and defend a thesis in a language other than English shall normally only be given if the subject matter of the thesis involves language and related studies. Where the published works are in a language other than English, the Research Degrees Subcommittee may require a certified translation to be provided at the candidate's expense.

Period of Registration

- 2.8 The procedures for considering an application and awarding the degree of PhD by published work will normally be completed within one year. In exceptional and unforeseen circumstances a request for an extension to the period of registration may be considered by the Faculty Research Degrees Subcommittee where evidence is submitted to support the request. The maximum period of extension which may be granted by the Faculty Research Degrees Subcommittee is 6 months.

3. ELIGIBILITY OF CANDIDATES

Entry Requirements

- 3.1 A candidate for the degree of PhD based on published work shall normally:
- (a) hold a first or upper second class honours degree of a UK University (or of the Council for National Academic Awards) or a qualification which is regarded by the Research Degrees Subcommittee as equivalent to such an honours degree
- or
- (b) hold any other appropriate equivalent qualification, other than those in paragraph 3.1(a)

4. REGISTRATION STAGE

Application for Registration

- 4.1 In order to establish a *prima facie* case the candidate shall submit an application in writing to the Secretary of the relevant Faculty Research Degrees Subcommittee which shall include the following:
- (a) A list of the published works on which the application for registration is based (see paragraph 2.6)
 - (b) A summary, not normally exceeding 1,000 words, summarising the contribution to knowledge and the significance of the contribution to knowledge represented by the published work and establishing how the work constitutes a coherent study
 - (c) A statement by the applicant identifying where, when and over what period the research contributing to the published works was undertaken
 - (d) A signed statement by the applicant indicating the extent of the contribution by other collaborating researchers with reference to the contribution to design, analysis, conduct of the research and writing up of the publication. Collaborators will be asked to endorse this statement
 - (e) A signed declaration by the applicant that the work submitted in whole or in part has not been accepted for a research degree at any other university (subject to Part A, paragraph 11.7)
 - (f) A signed declaration by the applicant indicating that the work received ethical approval, where required, at the time the research was undertaken
 - (g) Payment of the appropriate fee

Determination of *Prima Facie* Case for the Award

- 4.2 A Panel convened by the Faculty Director of Research/Director of Research Students, to include a minimum of four members, two of whom are members of the Faculty Research Degrees Subcommittee, will determine whether the candidate has established a *prima facie* case for the award of the degree.
- 4.3 A subject specialist is required to provide written feedback on the application which will be considered by the Panel.
- 4.4 The Panel will consider:
- (a) The application as detailed in paragraph 4.1
 - (b) The registration status of the candidate
 - (c) Adequate supervision, in the form of an academic adviser, is available which is likely to be sustainable
 - (d) The proposed supervisor(s) meet the regulations as detailed in section 5.
 - (e) The feedback from the subject specialist

- 4.5 In considering the application, the Panel will ensure that the candidate's published work shows evidence of
- (a) An independent and original contribution to knowledge in a particular field
 - (b) A sustained level of coherent research which has currency in the academic community
 - (c) A coherent contribution to research in a given field at a level and scope equivalent to that of a conventional PhD thesis
 - (d) A critical investigation and evaluation
 - (e) A thorough understanding of research methods

The material should also be presented to a professional standard.

Research Training

- 4.6 All candidates for PhD by Published Work are required to attend Stage 3 of Anglia Ruskin University's Research Training Programme.

5. APPOINTMENT OF THE SUPERVISOR(S)

Role of the Supervisor(s)

- 5.1 Upon the establishment of a *prima facie* case, the Faculty Research Degrees Subcommittee will appoint a Supervisor(s). The Supervisor(s) will normally have had experience of supervising candidates to successful completion of a PhD and must meet the criteria for appointment outlined in Part A – Section 7. The role of the Supervisor(s) will be to assist the candidate and s/he will be required to:
- (a) guide and support the candidate through the various stages of the process
 - (b) evaluate their publications against developmental and/or conceptual criteria
 - (c) provide advice to the candidate in writing the critical appraisal
 - (d) offer advice on preparing for the oral examination
 - (e) nominate potential examiners to the Research Degrees Subcommittee
 - (f) be present at the oral examination, subject to the agreement of the candidate
- 5.2 The Supervisor will be required to produce a report on the candidate's progress for consideration by the Faculty Research Degrees Subcommittee 6 months after the candidate's initial registration.

6. APPOINTMENT OF EXAMINERS

Number of Examiners

- 6.1 Following the establishment of the *prima facie* case the Research Degrees Subcommittee shall appoint normally two examiners, of whom at least one shall be an external examiner

and one shall be a member of staff of Anglia Ruskin University or Associate College. Where more than two examiners are appointed, the majority are generally from outside Anglia Ruskin University. Where the candidate is a member of staff of Anglia Ruskin University there shall be two external examiners and no internal examiner.

Arrangements for the Appointment of Examiners

6.2 The arrangements for the appointment of the examiners shall be as set out in the Research Degrees Regulations (Part A, section 12).

Exclusion from Examining Teams

6.3 The candidate's Supervisor(s) cannot be appointed as an examiner and only in exceptional circumstances and approved by the Deputy Vice Chancellor (Research and Innovation) will co-author(s) be eligible for appointment as an examiner. Former members of staff and former doctoral candidates of Anglia Ruskin University, its Associate Colleges or a collaborative organisation which contributes to the work of Anglia Ruskin University shall normally not be approved as external examiners until three years after the termination of their employment or date of award with Anglia Ruskin University.

6.4 Where two external examiners are required to be appointed for an individual candidate they may not be employed by the same institution.

7. EXAMINATION

The Candidate's Responsibilities in the Examination

7.1 Following the establishment of a *prima facie* case and the appointment of examiners, the candidate shall submit to the Secretary of the Research Degrees Subcommittee one set of documentation (hereafter referred to as the thesis) for each of the appointed examiners and the chair of the oral examination. Each copy of the thesis shall include:

- (a) a proposed focal theme for the collected works which will be included on the Certificate and form the title of the thesis
- (b) an abstract, not normally exceeding 300 words, providing a statement of the nature and scope of the work presented and the contribution made to the knowledge of the subject
- (c) a *critical appraisal*, not normally exceeding 10,000 words and not less than 7,000 words, of the cited published works, which should include the following:
 - their respective main aims
 - an acknowledgement of sole authorship for the collective works and a detailed explanation of research/written contribution within any jointly authored works [Anglia Ruskin University reserves the right to verify the nature of such contribution(s)]
 - an outline of the overall thematic and methodological interrelationships among the works
 - a synthesis of them as a coherent study
 - their genesis and chronology as part of the candidate's curriculum vitae
 - a critical review evaluating their originality, depth of scholarship achieved and the significance of their contribution to knowledge of the subject

Candidates should comment on the public reception as indicated by any citations and reviews.

- (d) a digital copy, where possible, of all the published creative or scholarly works cited in the application giving proof of authenticity. Where a digital copy is not available, an off print or high quality photocopy is acceptable. In the case of creative work, the representation may be in other than written form (for example, video, photographic record, musical score etc). The works shall be numbered and correspond with the list cited in the application and may be submitted as separate documents. No additional works shall normally be included
 - (e) the statements and declaration referred to in paragraph 4.1.
- 7.2 The thesis, excluding books, shall be presented in digital format in accordance with the procedures set out in the Research Degrees Regulations (Part A, Section 10).
- 7.3 A candidate will make available to the examiners the entire body of work on which the application for the award is based.

8. EXAMINATION ARRANGEMENTS

- 8.1 The arrangements for the conduct of the examination, including the outcome and notification to the candidate, shall be in accordance with the procedures set out in Anglia Ruskin University's Research Degrees Regulations (Part A, Section 13).

Assessment Criteria

- 8.2 An examination for a PhD by Published Work should reflect the same standards as those that operate for the traditional PhD based on supervised work. This requirement for comparability presents challenges to the examiners for the award of PhD by Published Work. In this case the main tasks are to:-
- (a) consider and explore the nature of the critical appraisal
 - (b) evaluate the quality of the candidate's cited publications
 - (c) establish the level or pattern of coherence between the publications
 - (d) assess progression through the papers submitted by the candidate
 - (e) evaluate their originality, depth of scholarship achieved and the significance of their contribution to knowledge of the subject
 - (f) evaluate the methodologies by which the research was conducted
 - (g) place the publications within the time-frame and facilities within which the publications first appeared
 - (h) assess the candidate's contribution to the various phases of the research embodied in multi-authored works
 - (i) establish the candidate's 'ownership' of the published work and appreciation of the state of knowledge within the candidate's research area
 - (j) assess the candidate's interpersonal skills through his/her ability to defend the submission

In assessing the above the examiners should take into account the standing of the journals in line with the statement from the candidate.

8.3 Examiners of a PhD by Published Work are asked to comment on all the above points and to include on form RD8b, a statement that the body of published works submitted:-

shows evidence of originality and independent critical judgement

and

constitutes an addition to subject knowledge

Failure and Resubmission

8.4 Where the examiners recommend that a degree of PhD by Published Work be not awarded, the candidate may not resubmit for a PhD by Published Work within a period of 12 months from the date of the original examination. Any further submission must include evidence of additional work.

8.5 The examiners may recommend minor amendments to the critical appraisal in accordance with paragraphs 13.25 to 13.27 in Part A.

Recommendation of award of MPhil instead of PhD

8.6 Where the examiners are unable to recommend the award of a PhD by Published Work a candidate may be eligible to receive a MPhil by Published work subject to the presentation of the critical appraisal amended to the satisfaction of the examiners. To achieve the award of MPhil by Published Work the work must meet the criteria for the award of MPhil as set out in paragraph 1.6 in Part A and in Annex 1.

Conferment of the Award

8.7 The Research Degrees Subcommittee (or the Chair acting on behalf of the Subcommittee) shall receive the recommendations of the examiners and shall, if appropriate, endorse the decision to confer the award. The power to confer the award shall rest with the Research Degrees Subcommittee acting on behalf of the Research Committee and the Senate of Anglia Ruskin University.

8.8 On rare occasions, it may become apparent that an Anglia Ruskin award has been conferred on a student who was admitted to Anglia Ruskin University on the basis of forged documents, or who has gained an unfair advantage in some other way. Alternatively, some other form of deception has occurred. Please refer to regulations 13.40-41 in Part A of the Research Degrees Regulations for further information.

Research Degree Certificates

8.9 Following the conferment of the award the candidate will be invited by the Assessment Unit in the Academic Office to attend a graduation ceremony. Certificates will be sent out to candidates from the Assessment Unit in the Academic Office by Recorded Delivery.

PART C

Specific Regulations for the Award of Postgraduate Diploma in Professional Research Professional Masters Professional Doctorate

The Research Degrees Regulations apply equally to Postgraduate Diploma in Professional Research, Professional Masters and Professional Doctorate candidates. The specific additional requirements for the above awards are set out below.

1. ENTRY REQUIREMENTS

- 1.1 An applicant may seek admission to study for any of the following awards which are offered on a part-time basis:
- Postgraduate Diploma in Professional Research
 - Professional Masters
 - Professional Doctorate

Stage 1 of the Professional Doctorate may be studied on a full-time basis in specific disciplines where this has been validated.

- 1.2 An applicant seeking entry to the Professional Doctorate shall normally as a minimum entry requirement:
- hold a first or upper second class honours degree of a university or any other institution of higher education in the UK with degree-awarding powers, provided that the degree included training in research and the execution of a research project or dissertation, or a qualification which is regarded by Anglia Ruskin University as equivalent to a first or upper second class honours degree.

AND

- have appropriate professional experience
- 1.3 Any DProf programme that wishes to propose that the minimum entry requirement must be a Masters degree, in an appropriate cognate area awarded by a UK University or an overseas Masters degree of equivalent standard will be required to submit a case to Research Degrees Subcommittee for consideration.
- 1.4 Applicants who have achieved the Postgraduate Diploma in Professional Research may seek admission, within a period of five years of achieving that award, for entry onto the Professional Masters or Professional Doctorate.
- 1.5 Anglia Ruskin University is not responsible for finding work placements for candidates registered on the Professional Doctorate, Professional Masters and Postgraduate Diploma in Professional Research. Candidates entering Stage 2 of the Professional Doctorate and Professional Masters programmes must, therefore, have access to employment or practice.

2. NON-STANDARD ENTRY REQUIREMENTS

- 2.1 Applicants holding qualifications other than those in paragraphs 1.2 and 1.3 shall be considered on their merits and in relation to the nature and scope of the programme of proposed work. In considering an applicant in this category the Faculty shall look for evidence of the candidate's ability and background knowledge in relation to the proposed research. Professional experience, publications, written reports or other appropriate evidence of achievement shall be taken into consideration.

- 2.2 An applicant who does not have appropriate research experience will be required to demonstrate depth of understanding of research methods by completing a programme of research training.

3. ENGLISH LANGUAGE COMPETENCE

- 3.1 Where English is not an applicant's first language, an applicant must demonstrate evidence of English Language ability to the following (or equivalent) minimum level of proficiency:

- An IELTS score of 6.5
- or
- A TOEFL score of 600

and have achieved a minimum of English Language competence equivalent to at least IELTS 5.5 across all four disciplines – writing, reading, speaking and listening.

- 3.2 If necessary, an offer of a place to read for a research degree may be subject to completion of Anglia Ruskin University's Postgraduate English Language Support Programme.
- 3.3 These minimum requirements may be supplemented by additional requirements as determined by individual Faculties.
- 3.4 An offer of a place on the Postgraduate Diploma in Professional Research, Professional Masters or Professional Doctorate may be subject to completion of Anglia Ruskin University's Postgraduate English Language Support Programme.

4. PERIODS OF REGISTRATION

- 4.1 The standard periods of registration are normally:

	<u>Minimum</u>	<u>Maximum</u>
Postgraduate Diploma in Professional Research		
<i>Part-time</i>	16 months	30 months
<i>Full-time</i>	12 months	18 months
Professional Masters		
<i>Part-time</i>	30 months	48 months
<i>Part-time (following full-time Stage 1)</i>	26 months	36 months
Professional Doctorate		
<i>Part-time</i>	36 months	72 months
<i>Part-time (following full-time Stage 1)</i>	32 months	60 months

Shortening the Period of Registration

- 4.2 Where there is evidence that a candidate is making exceptional progress, the Faculty Research Degrees Subcommittee may approve a shorter minimum period of registration.

Extending the Period of Registration

- 4.3 The Faculty Research Degrees Subcommittee may consider requests from candidates to extend their period of registration where evidence is submitted to support the request. Periods of extension shall not normally be approved for more than six months at a time

or until the end of the Writing Up Stage up to a maximum of 12 months. Only in exceptional and unforeseen circumstances will a further 6 month period (totalling 18 months) be permitted. A candidate seeking an extension shall apply to the FRDSC on the appropriate form. An action plan agreed with the first supervisor, which will enable successful completion of the thesis, must be submitted at the time of requesting an extension.

Transferring Course

- 4.4 A candidate registered for a Professional Doctorate who wishes to transfer their registration to MPhil or PhD, or vice versa, will be required to first seek the support of their First Supervisor and discuss the proposed transfer with the Professional Doctorate Programme Director, before applying in writing to the FRDSC for approval. The relevant form can be obtained from the appropriate FRDSC Secretary.

5. ATTENDANCE AT WORKSHOPS

- 5.1 Candidates are expected to attend all workshops designed for the Postgraduate Diploma in Professional Research / Professional Masters / Professional Doctorate programmes.
- 5.2 Candidates are also required to attend the compulsory three-stage University-wide Research Training, unless the Faculty Director of Research grants exemption from all or part of this training.
- 5.3 All new research degree candidates must either attend Introduction to Research Ethics and Integrity (in Human Research) training offered by Research Development and Commercial Services or pass the online Epigeum course Ethics 1 – Good Research Practice.
- 5.4 All new research degree candidates whose research proposal requires ethical approval (e.g. falls into the amber or red categories) are also required to pass the online Epigeum course Ethics 2 – Research with Human Subjects in the Health and Social Sciences or an equivalent course approved by the Chair of the appropriate Faculty Research Ethics Panel
- 5.5 Candidates are strongly encouraged to attend the annual Research Student Conference.
- 5.6 Candidates are encouraged to take advantage of the further training offered through Research Development and Commercial Services (RDCS), Human Resources and the Faculties. In addition, candidates are advised to take advantage of national training events and training opportunities external to our University.

6. STAGE 1

Advisers

- 6.1 Stage 1 Professional Doctorate candidates will be allocated an Adviser.

Stage 1 Papers

- 6.2 All registered candidates for a Postgraduate Diploma in Professional Research, Professional Masters or Professional Doctorate are required to submit papers totalling a maximum of 21,000 words.

- 6.3 At least the greater of 2 or 50% of marked Stage 1 papers for each candidate shall be sent to an external moderator for moderation. For a new Professional Doctorate programme, all marked Stage 1 papers for the first intake of students shall be sent to the external moderator for moderation. Where the first intake comprises fewer than ten students then all marked Stage 1 papers for the second intake must also be sent for external moderation. Sampling of Stage 1 papers for moderation may occur for the next intake when there are more than ten students on the programme.
- 6.4 Upon successful completion of Stage 1 candidates may progress to Stage 2 of the programme or be awarded the Postgraduate Diploma in Professional Research.

Resubmission of Stage 1 Papers

- 6.5 If the assessment requirements for a Stage 1 paper are not met on first submission the candidate will normally be allowed the opportunity to revise and resubmit the Stage 1 paper within a period of 3 months.
- 6.6 Where the candidate has failed any of the Stage 1 papers on resubmission, the Faculty Research Degrees Subcommittee will normally terminate the candidate's registration.

Criteria for Appointment as an External Moderator

- 6.7 External moderators should:
- Hold a doctoral level qualification or have equivalent professional and/or academic recognition
 - Normally have experience in the assessment of Professional Doctorate or similar programmes or equivalent experience
 - Have knowledge of the broad subject area that they will be moderating
 - Be external to Anglia Ruskin University and be independent of the programme team
- 6.8 External moderators should not hold more than a maximum of three appointments as an external examiner (for taught courses)/external moderator (for Professional Doctorate programmes).

Terms of Reference for External Moderators

- 6.9 External moderators shall be appointed in accordance with the procedures of the Senate of the University. They must be prepared to work within the context of a professional doctorate.
- 6.10 The role of the external moderators approved by the appropriate body is to ensure that justice is done to students and that the standard of the Stage 1 papers is maintained. In order to carry out these responsibilities, the external moderators must:
- judge standards impartially on the basis of work submitted for assessment without being influenced by previous association with the programme, the staff, or any of the students
 - compare the performance of students with that of their peers studying for comparable awards
 - approve the form and content of assessments that count towards Stage 1, in order to ensure that all students will be assessed fairly in relation to the programme and regulations and in such a way that external moderators will be able to judge whether the objectives of Stage 1 have been fulfilled and whether students have reached the required standard

- see at least the greater of 2 or 50% of Stage 1 papers for each candidate in order to ensure that appropriate standards of assessment are being maintained by the Internal Assessors
- see all papers for at least the first 10 candidates of a new Professional Doctorate programme (see paragraph 6.3)
- ensure that the assessments are conducted in accordance with the approved regulations
- report back annually via the FRDSCs to the Research Degrees Subcommittee on the outcomes of the assessments, the effectiveness of the assessments and any lessons to be drawn from them, in accordance with policies determined by the Senate

In addition, external moderators have the right to:

- be consulted on any proposed changes to the approved progression and assessment regulations which will directly affect students currently studying for the award
- advise, if requested to do so by the Programme Directors, in cases of unresolvable internal disagreement
- moderate the outcome arrived at by the internal assessors, but not to change the outcome for individual students
- exceptionally, to conduct a *viva voce* examination of any candidate
- participate as required in any reviews of decisions about individual students taken during the external moderator's period of office.

6.11 The period of appointment for an external moderator will normally be four years.

7. CONFIRMATION OF APPROVAL AS A CANDIDATE FOR PROFESSIONAL DOCTORATE OR PROGRESSION OF CANDIDATURE FROM MProf TO DProf

Timescale

7.1 All registered candidates for a Professional Doctorate are required to apply for confirmation of candidature for a Professional Doctorate normally no later than three years after registration for part-time candidates and no later than two years after registration for part-time candidates studying Stage 1 on a full-time basis.

Submission Requirements

7.2 All candidates are required to submit to the appropriate Faculty Research Degrees Subcommittee Secretary:

For Students Registering from September 2015 onwards

- (a) A report of normally not more than 6,000 words, that evidences achievements and progress following submission of the research proposal. The report should include:
- Introduction, giving the context of the work
 - Research question and hypothesis
 - Section on methodology
 - Substantial piece of work towards the thesis objectives
 - Plan and timetable for the remainder of the work.

For students registered prior to September 2015

- (b) a report, of no more than 3,000 words, that evidences achievements and progress following the submission of the research proposal. The report should include:
- a statement of the likely original contribution to knowledge
 - an outline of the approach to the research/methodology/conceptual framework
 - a critical review of the research undertaken to date
 - an indicative thesis structure
 - an action plan detailing the necessary steps to completion
- (c) two examples of doctoral level work in progress. Where there is more than a single contributor to a publication, a signed statement by the candidate indicating the extent of the contribution by other collaborating researchers with reference to the contribution to design, analysis, conduct of the research and writing up of the publication, should be provided. Collaborators will be asked to endorse this statement. These examples could take the form of extracts from publications or from two draft chapters up to a maximum total of 10,000 words, or other material relevant to the discipline. Taken together these examples should demonstrate to the satisfaction of the Faculty Research Degrees Subcommittee (or sub-group including the FRDSC Chair and two other members of the FRDSC):
- evidence of originality in the research
 - a significant contribution to knowledge
 - the potential for a successful outcome at doctoral level

All students must submit:

- (d) completed form RD4. The First Supervisor will nominate two internal assessors. A copy of the Turnitin Originality Report must be submitted with the RD4 form. These assessors must be independent of the supervisory team and have experience of supervising research degrees. At least one assessor must have knowledge and expertise in the subject area. The assessors must be approved by the Faculty Research Degrees Subcommittee. If there is no one within Anglia Ruskin University with the necessary knowledge and expertise an external assessor must be sought. The Chair of the Faculty Research Degrees Subcommittee shall be responsible for determining whether or not an external assessor is required.

Consideration of Application

7.3 Candidates shall normally:

- (i) make an oral presentation of their work in progress to the assessors, who are independent of the supervisory team (current or historical) and have experience of supervising research degrees. At least one assessor must have knowledge and expertise in the subject area. The assessors must be approved by the Faculty Research Degrees Subcommittee

OR

- (ii) make an oral presentation of their work in progress at a Faculty/Departmental research seminar or equivalent. The audience must include two assessors who are independent of the supervisory team and have been approved by the Faculty Research Degrees Subcommittee

7.4 In either case, evidence of the candidate's performance in the oral presentation will be taken into account by the Faculty Research Degrees Subcommittee (or sub-group) in considering the application.

7.5 Assessors will be sent a copy of the documentation submitted for Confirmation of Candidature in order to assist them in assessing the oral presentation. Candidates will be asked to give a 15 minute presentation, with questions following the presentation. The style of presentation will be at the candidate's discretion. The presentation should cover the following:-

- a brief resumé of the candidate's achievements in their research to date
- the candidate's plan for their research, together with a timescale, for achieving their doctorate
- justification that the research is at doctoral level

7.6 The entire submission will be considered in advance of the meeting by the assessors, who will be requested to provide written comments for consideration by the Faculty Research Degrees Subcommittee (or sub-group).

7.7 The Faculty Research Degrees Subcommittee (or sub-group) will consider form RD4, the progress report, the written comments of the assessors as recorded on form RD13 and evidence of the candidate's performance in the oral presentation as recorded on form RD13A. The initial consideration of the application cannot be made by Chair's action.

7.8 In recommending an application for Confirmation of Candidature, the Faculty Research Degrees Subcommittee (or sub-group) will ensure that:

- (a) the candidate's research is developing into an appropriate doctoral research topic of sufficient scope and depth
- (b) the candidate has identified the context of the research and how it relates to other work in the discipline
- (c) the candidate is demonstrating independent critical thinking
- (d) the candidate is demonstrating that the research will lead to a significant contribution to knowledge in the discipline

- (e) the candidate is acquiring appropriate research skills and techniques
- (f) the candidate has provided a realistic programme of future activities

7.9 A candidate registered for the degree of MProf only may apply to progress the registration to DProf by following the process outlined above.

Unsuccessful Applications for Confirmation of Candidature for Professional Doctorate or Progression from MProf to DProf

7.10 If a candidate fails to make a successful application for confirmation of candidature for a professional doctorate, the Faculty Research Degrees Subcommittee (or sub-group) may approve one opportunity for the candidate to revise the application. The revised application must normally be submitted between 4-6 months of the meeting of the FRDSC which considered the initial application unless there are exceptional and unforeseen circumstances which have prevented a candidate meeting this timescale.

8. ASSESSMENT REQUIREMENTS

Postgraduate Diploma in Professional Research

8.1 In order to be eligible for the award of Postgraduate Diploma in Professional Research candidates are required to achieve a pass in each of the written papers totalling 21,000 words. Where the papers are accompanied by material in other than written form, e.g. a portfolio of evidence, artefacts, DVD, performance, exhibition, a minimum of 2,000 words is required. Timeframes for the submission of each assignment will be set by the Programme Director. The assessment of the written papers by internal tutors will be recorded on the 'Unratified Result Sheet' and sent to the External Moderator for moderation as required under Part C, Paragraph 6.3. All papers will be assessed against the grade of 'pass' or 'fail'. Candidates who fail an assignment at the first attempt are permitted one further opportunity to pass the assignment within 3 months of receipt of the feedback.

Professional Masters

8.2 All candidates for the award of a Professional Masters are required to seek approval of their research proposal normally within 24 months of initial registration.

8.3 In order to be eligible for the award of Professional Masters candidates are required to achieve a pass in each of the written papers totalling 21,000 words (as outlined in paragraph 8.1) and submit and defend by oral examination a thesis comprising of:

- either** 29,000 words where Stage 1 papers in appendices to the thesis
- or** 50,000 words where Stage 1 papers included in the body of the thesis

8.4 Candidates may either attach their written papers to their thesis as separate appendices or incorporate material from the papers in the body of the thesis.

8.5 Where the thesis is accompanied by material in other than written form or the research involves the creative writing or the preparation of a scholarly edition, the thesis may be in the form of creative work accompanied by a commentary. In such cases the thesis or commentary for a Professional Masters should normally not exceed 15,000 words.

8.6 The Professional Masters thesis should display appropriate evidence of:

- Originality and independent critical judgement

AND

- Demonstrate an understanding of techniques and/or methodologies applicable to the candidate's own research

8.7 The abstract, main text, tables and quotations should be included in the maximum word length. Appendices, reference lists and footnotes should not be included in the maximum word length.

Professional Doctorate

8.8 All candidates for the award of a Professional Doctorate are required to seek approval of their research proposal normally within 24 months of initial registration.

8.9 Confirmation of approval as a candidate for a Professional Doctorate should occur no later than 4 years after registration for part-time candidates, and no later than 3 years after registration for part-time candidates studying Stage 1 on a full-time basis.

8.10 In order to be eligible for the award of a Professional Doctorate candidates are required to achieve a pass in each of the written papers totalling 21,000 words (as outlined in paragraph 8.1) and submit and defend by oral examination a thesis comprising a maximum of:

- either** 59,000 words where Stage 1 papers in appendices to the thesis
- or** 80,000 words where Stage 1 papers included in the body of the thesis

8.11 The abstract, main text, tables and quotations should be included in the maximum word length. Appendices, reference lists and footnotes should not be included in the maximum word length.

8.12 Where the thesis is accompanied by material in other than written form or the research involves the creative writing or the preparation of a scholarly edition, the thesis may be in the form of creative work accompanied by a commentary. In such cases the thesis or commentary for a Professional Doctorate should normally not exceed 40,000 words.

8.13 The Professional Doctorate thesis should display appropriate evidence of:

- Originality and independent critical judgment

AND

- Constitute a contribution to professional practice

AND

- Exhibit development of professional competencies

9. ASSESSMENT CRITERIA

Postgraduate Diploma in Professional Research (Level 7)

Successful candidates for the award of Postgraduate Diploma in Professional Research will be expected to demonstrate:

9.1 A systematic acquisition and critical understanding of knowledge, that is mostly at the forefront of the academic discipline and area of professional practice.

- 9.2 The ability to reflect on and examine critically their own professional activity.
- 9.3 The ability to conduct research in accordance with academic and professional ethical standards.
- 9.4 An understanding of techniques and/or methodologies applicable to practitioner research.
- 9.5 The ability to design a research project that is capable of generating new knowledge and understanding of professional practice.
- 9.6 The ability to conceptualise understanding so as to evaluate critically current research in the discipline and area of professional practice.
- 9.7 The qualities and transferable skills necessary for employment requiring the exercise of personal responsibility and, where appropriate, autonomous and/or collaborative initiative in planning tasks at a professional or equivalent level.
- 9.8 The ability to communicate findings clearly and effectively.

Professional Masters (Level 7)

Successful candidates for the award of MProf will be expected to demonstrate:

- 9.9 A systematic acquisition and critical understanding of knowledge, that is mostly at the forefront of the academic discipline and area of professional practice.
- 9.10 The ability to reflect on and examine critically their own professional activity.
- 9.11 The ability to conduct research in accordance with academic and professional ethical standards.
- 9.12 A comprehensive and critical understanding of techniques and/or methodologies applicable to practitioner research.
- 9.13 A critical and contextually appropriate application of techniques for original research, effective communication, critical and independent reasoning appropriate to advanced academic enquiry.
- 9.14 Originality in the application of knowledge or methodology in the discipline and/or area of professional practice.
- 9.15 The ability to conceptualise understanding so as to evaluate critically current research in the discipline and area of professional practice.
- 9.16 The qualities and transferable skills necessary for employment requiring the exercise of personal responsibility and, where appropriate, autonomous and/or collaborative initiative in planning and implementing tasks at a professional or equivalent level.
- 9.17 The ability to communicate findings clearly and effectively.

Professional Doctorate (Level 8)

Successful candidates for the award of Professional Doctorate will be expected to demonstrate:

- 9.18 The systematic acquisition and critical understanding of a substantial body of knowledge that is at the forefront of the academic discipline and area of professional practice.
- 9.19 The ability to reflect on and examine critically their own professional activity.
- 9.20 The ability to conduct research in accordance with academic and professional ethical standards.
- 9.21 The creation and interpretation of new knowledge through original research or other advanced scholarship which is of a quality to satisfy peer review, extend the forefront of the discipline, and merit publication.
- 9.22 The ability to integrate theoretical and professional-practical perspectives, knowledge and understanding in such a way as to generate mutual critique, and reformulation of theory and of professional practice.
- 9.23 The ability to conceptualise, design and implement a project for the generation of new knowledge, applications or understanding which are at the forefront of the discipline or area of professional practice, and to adjust the project design in the light of unforeseen problems.
- 9.24 A critical and contextually appropriate application of techniques for original research, effective communication, critical and independent reasoning appropriate to advanced academic enquiry.
- 9.25 The qualities and transferable skills necessary for employment requiring the exercise of personal responsibility and, where appropriate, autonomous and/or collaborative initiative in complex and unpredictable situations, and in professional/institutional or equivalent environments.
- 9.26 The ability to communicate findings clearly and effectively.

10. CONFERMENT OF AWARDS AS INTERMEDIATE AWARDS

- 10.1 Candidates whose written papers and/or thesis do not satisfy the assessment criteria for the award for which they were registered may be eligible for an intermediate award subject to their work satisfying the relevant assessment criteria for an intermediate award.
- 10.2 Certificates for the Postgraduate Diploma in Professional Research and for the Professional Masters will only be issued to candidates who have satisfied the assessment criteria for the awards and exit Anglia Ruskin University. Certificates will not be issued to candidates progressing from the Postgraduate Diploma in Professional Research to the Professional Masters and from the Professional Masters to the Professional Doctorate.

PART D

Regulations for the Award of Anglia Ruskin University's Higher Doctorates:

Doctor of Letters

Doctor of Science

Doctor of Technology

Doctor of Laws

1. STANDARD OF THE AWARD

- 1.1 Higher Doctorates are awarded for work of high academic distinction.
- 1.2 Higher Doctorates are conferred by Anglia Ruskin University in recognition of published work of high distinction which results from research at a higher level than a PhD, which is not supervised and which constitutes a substantial and sustained contribution to the field of study, characterised by its originality, and has established the candidate's authoritative standing in his/her subject, normally at international level.
- 1.3 The award of Doctor of Technology will be reserved for those individuals whose contribution has been principally to developments in the application of knowledge.

2. ENTRY REQUIREMENTS

- 2.1 Applicants for a Higher Doctorate should normally be a graduate of Anglia Ruskin University or be a member of staff of Anglia Ruskin University, an Associate College or partner research active organisation, or be a Visiting Professor. Applicants should normally be holders of a PhD or equivalent, in addition to at least four years' standing of a higher degree (MA/MSc) or of a qualification equivalent to a higher degree.
- 2.2 With the specific approval of the Chair of the Research Degrees Subcommittee a candidate outside the above categories may be considered.

3. APPLICATION

- 3.1 Applicants for a Higher Doctorate should submit, in confidence, to the Secretary to Senate of Anglia Ruskin University five copies of the work on which the application is based. The submission may take the form of books, contributions to journals, patent specifications, reports and design studies and may also include other evidence of original work. The submission must be presented in English. Exceptionally, and with the approval of the Research Degrees Subcommittee, permission to submit in a language other than English shall normally only be granted if the subject matter involves language and related studies.
- 3.2 All materials other than books should be secured in one hardback folder, or more if necessary, each containing a title and contents page.
- 3.3 An applicant should state which part of the submission, if any, has been submitted for any other academic award.
- 3.4 The applicant should submit in typed form (11 point) five copies of the following:
 - 3.4.1 A statement of not more than one thousand words setting out the applicant's view of the nature and significance of the work submitted, the general title and principal themes and the contribution to knowledge.
 - 3.4.2 The award for which the submission is made.
 - 3.4.3 A statement of the extent of the applicant's contribution to any work submitted which involves joint authorship or other types of collaboration. Anglia Ruskin University reserves the right to contact the co-author should it wish to do so.
 - 3.4.4 A CV

3.4.5 A provisional list of the publications on which the case is based.

3.5 The candidate is advised to consult the Deputy Vice Chancellor (Research and Innovation) for guidance on the standards required, and the process to be followed.

4. ASSESSMENT

4.1 The assessment of the application will be undertaken as follows:

4.1.1 The Secretary to Senate shall establish a Higher Doctorate Degrees Panel, as a Subcommittee of the Research Degrees Subcommittee, comprising:

- A Deputy Vice Chancellor (Chair)
- Chair, Research Degrees Subcommittee
- The Deputy Vice Chancellor with responsibility for research
- A senior member of academic staff pertinent to the area in question

to determine whether a *prima facie* case has been established. This may involve seeking advice from within and outside Anglia Ruskin University. The Panel will be serviced by the Secretary of the Research Degrees Subcommittee.

4.1.2 If satisfied that a *prima facie* case has been established, the evidence will be submitted normally to two independent examiners of appropriate standing external to Anglia Ruskin University, approved by the Higher Doctorates Panel on the advice of the Deputy Vice Chancellor with responsibility for research. Each of the examiners shall report independently with a recommendation. If there is disagreement, a third (or more) examiner may be sought.

4.1.3 The candidates shall submit to Anglia Ruskin University via the Secretary to Senate five sets of documentation which shall include:-

- (a) a critical appraisal, of not normally less than 1,000 words nor more than 10,000 words, of the submitted works which identifies the field and aims of the candidate's research and the original and distinguished contribution to the advancement of knowledge in the field represented by the works;
- (b) an offprint or high quality photocopy of each of the published works which have been cited, if necessary giving proof of authenticity. The works shall be numbered and correspond exactly with the list cited in accordance with paragraph 3.4.5;
- (c) where relevant, a copy of other published or unpublished works cited in accordance with the provisions of paragraph 3.4.5.

4.1.4 The Panel will determine whether or not a viva voce examination will be required, comprising the two external examiners and a chair appointed by the Research Committee.

4.1.5 Examiners' recommendations will be considered by the Higher Doctorates Panel prior to submission to the Research Degrees Subcommittee and Senate for ratification. Examiners may recommend the award or resubmission, in which case written guidance on the deficiencies of the first submission must be provided or recommend that the degree be not awarded.

4.1.6 In order to preserve confidentiality in the case of applicants who are Anglia Ruskin University members of staff the following confidentiality safeguards will apply:

- (a) The Research Degrees Subcommittee will be informed that a candidate from Faculty X has applied and examiners have been appointed
- (b) If the examiners recommend the award, then the Higher Degrees Panel will be given the reports and other information and asked to endorse the recommendation to the Research Degrees Subcommittee
- (c) If the application is unsuccessful, the Research Degrees Subcommittee will be informed that a candidate from Faculty X was not recommended for the award

4.2 There will be no appeal against the decision of the Senate.

4.3 Applicants may reapply after two academic years from the date of the decision of the Senate and may include the same material in the application if they so desire and will be considered on their own merit afresh. The Panel shall decide whether the same examiners should continue.

4.4 A copy of the successful application shall normally be lodged in Anglia Ruskin University Library, and the candidate may request that any confidential unpublished work may remain classified for a period of two years.

5. FEES

5.1 An initial application fee will be paid to cover preliminary enquiries.

5.2 An examination fee will be charged to cover the assessment of the complete submission.

PART E

Specific Regulations for the Award of Anglia Ruskin University's Doctor of Medicine by Research

The Research Degrees Regulations apply equally to Doctor of Medicine by Research candidates. The specific additional requirements for the above award are set out below.

1. ENTRY REQUIREMENTS

Applications for Entry to the Doctor of Medicine by Research (MD (Res))

1.1 The MD (Res) degree is aimed specifically at students in clinical practice. It is expected that candidates will make a substantial contribution to knowledge in their clinical area, normally leading to published work. To be eligible for registration for the MD (Res) degree a candidate must:

- have a registrable qualification in Medicine, appropriate to the course to be followed, awarded by a UK university, or a qualification of an equivalent standard, appropriate to the course to be followed, awarded by a university outside the UK;

and

- be eligible for full registration or hold limited registration with the General Medical Council

1.2 The University may, at its discretion, register for the MD (Res) degree a person who holds an appropriate qualification but who does not hold registration with the General Medical Council, providing that the research project does not involve contact with patients.

2. TRANSFER OF STUDY

A candidate registered for the Doctor of Medicine by Research will not be permitted to transfer their registration to another research degree.

3. TIMESCALES FOR COMPLETION

	Minimum	Maximum
MD (Res)		
<i>full-time</i>	24 months	48 months
<i>part-time</i>	36 months	72 months

3.1 For full-time study the degree shall be a continuous one. Candidates will, however, be permitted to perform limited clinical duties if the prior approval of their supervisor(s) is obtained. Candidates will be required to devote the whole of their time as a full-time candidate to the degree and to attend the University at all appropriate times.

3.2 For part-time study, candidates will be permitted to perform their normal clinical duties and continuing professional education but will be required to attend the compulsory University and faculty research training programmes.

4. SUPERVISION

- 4.1 For candidates registered for the award of Doctor of Medicine by Research, one member of the supervisory team must be a medical practitioner.

5. PROGRESSION

- 5.1 Assessment of a candidate's research ability to determine whether registration for the MD (Res) degree can continue will be determined through the Confirmation of Candidature process, between 9 and 12 months after the date of initial registration for full-time students (between 15 and 24 months after the date of initial registration for part-time students).

6. REQUIREMENTS OF AN MD (Res) THESIS

- 6.1 A thesis for the MD (Res) degree will deal with any branch of medicine, or surgery or medical science.
- 6.2 Studies that fall under the Medical Device Regulations (2002) or Medicines for Human Use (Clinical Trials) Regulations (2004) as amended must have approval from the Medicines and Healthcare products Regulatory Agency (MHRA) as well as ethical approval and any other approvals (e.g. NHS R&D Management) required. Studies that fall under the Human Tissue Act (2004) which are within the remit of Anglia Ruskin University's research licence from the Human Tissue Authority can be reviewed by the relevant Faculty Research Ethics Panel. If studies do not fall under the terms of our licence from the Human Tissue Authority, they can only be legally reviewed by an NHS Research ethics committee. Any other approvals required (e.g. NHS R&D Management) must be obtained.
- 6.3 Candidates must ensure that if their research falls under the Mental Capacity Act (2005) it is reviewed by an NHS REC or the Social Care Research Ethics Committee (<http://www.scie.org.uk/research/ethics-committee>). University ethics committees cannot legally review research that falls under the Mental Capacity Act (2005).
- 6.4 For exemption from our University's compulsory research ethics training, MD (Res) students must provide evidence of an up-to-date Good Clinical Practice training record
- 6.5 The thesis shall:
 - 6.5.1 consist of the candidate's own account of his/her investigations;
 - 6.5.2 form a distinct contribution to the knowledge of the subject and afford evidence of originality by the discovery of new facts and/or by the exercise of independent critical power;
 - 6.5.3 be an integrated whole and present a coherent argument;
 - 6.5.4 give a critical assessment of the relevant literature, describe the method of the research and its findings, include discussion of those findings and indicate in what respects they appear to the candidate to advance clinical medicine and, in doing so
 - 6.5.5 demonstrate a deep and synoptic understanding of the field of study (the candidate being able to place the thesis in a wider context), objectivity and the capacity for judgment in complex situations and autonomous work in that field;

- 6.5.6 include a full bibliography and references;
 - 6.5.7 demonstrate research skills relevant to the thesis being presented, and
 - 6.5.8 be of a standard to merit publication in whole or in part or in a revised form (for example, as a monograph or as a number of articles in learned journals).
- 6.6 Publications derived from the work in the thesis may be attached as supplementary material to the thesis.

7. THE EXAMINERS

- 7.1 In an examination for a Doctor of Medicine by Research the examining team shall have experience of examining Doctor of Medicine candidates (i.e. normally have examined at least one Doctor of Medicine candidate) and one examiner should be an appropriately qualified medical practitioner.

Annex 1
The Quality Assurance Agency for Higher Education
Qualification Descriptors

Descriptor for a higher education qualification at level 7: Master's degree

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

Descriptor for a higher education qualification at level 8: Doctoral degree

Doctorates 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

Annex 2

Useful Publications

Available from Research Development and Commercial Services:

Research Degrees Handbook (available from <http://web.anglia.ac.uk/anet/rdcs/research/handbook.phtml>)

The following documents are all available at: <http://www.anglia.ac.uk/researchethics>

Research Ethics Policy

Code of Practice for Applying for Ethical Approval at Anglia Ruskin University

Question-specific Advice for Research Ethics Application Form (Stage 1)

Question-specific Advice for Applying for Stage 2 Ethical Approval

Available from the University Secretary

Rules, Regulations and Procedures for Students

Available from the University Library

Guide to the Harvard System of Referencing is available at the following web address:

<http://libweb.anglia.ac.uk/referencing/harvard.htm>

Available from the Academic Office

Notes of Guidance for Chairs of Postgraduate Research Degrees Examinations

Notes of Guidance for Examiners of Postgraduate Research Degrees Examinations

Senate Code of Practice on Research Degrees [incorporated in the Research Degrees Regulations as Annex 9]

Senate Code of Practice on Research Degrees (Procedural Document)

ProgressPlatform training guides for students, supervisors and administrators

Available from Student Services

Student Charter for Research Degree Students

Available from www.qaa.ac.uk

QAA Doctoral Degree Characteristics

QAA Master's Degree Characteristics

QAA Quality Code for Higher Education, Chapter B11: Research Degrees

Annex 3

List of Anglia Ruskin University's Research Degree Forms

The following forms are available from the Research Degrees Unit, Academic Office or on the web site (http://web.anglia.ac.uk/anet/academic/acad_sec/research.phtml):

RD1.2	Outline CV for Anglia Ruskin University staff acting as Research Degree Supervisors
RD1.2(E)	Outline CV for Anglia Ruskin University staff acting as Research Degree Examiners
RD1.3	Outline CV for non Anglia Ruskin University staff acting as Research Degree Supervisors
RD1.3(E)	Outline CV for non Anglia Ruskin University staff acting as Research Degree Examiners
RD13	Reference for Application for Confirmation of Candidature
RD13A	Assessment of Oral Presentation for Confirmation of Candidature
RD16	Authenticity of Permanently Bound Copy of Thesis
RD18	Appeals Form
	Thesis Deposit Agreement Form

The following forms are available on ProgressPlatform <https://progressplatform.anglia.ac.uk>

	Research Proposal Form (for completion by candidates and supervisors)
	Research Proposal Approval Form (Part 2) (for completion by Faculty Research Administrators, Faculty Directors of Research Students and FRDSC Secretaries)
	Assignment Cover Sheet for Stage 1 Papers
RD2	Application for Change in Approved Arrangements for Supervision
RD3	Application for Extension of Period of Registration
RD4	Application for Confirmation of Approval as a Candidate for PhD, MD (Res) or DProf
RD5	Application for Appointment of Examiners
RD9	Submission of Thesis Declaration Form
RD9a	Resubmission of Thesis Declaration Form (with viva)
RD9b	Resubmission of Thesis Declaration Form (without viva)
RD17	Application to Enter the Writing Up Stage
	Annual Monitoring Progress Report (for completion by candidates)
	Convenor's Annual Monitoring Review Form

Annex 4
Specimen Abstract

Name of University (capitals) →
Abstract (capitals) →
Faculty/Centre (capitals) →
Degree for which the Thesis/
Project Report is submitted →
Title of Thesis/Project Report →
Full name of Author →
Month and year of submission →
Abstract text →

ANGLIA RUSKIN UNIVERSITY
ABSTRACT

FACULTY OF VETERINARY SCIENCE

DOCTOR OF PHILOSOPHY

THE SPATIAL DISTRIBUTION OF
MANX CATS IN THE OUTER HEBRIDES

JEAN SMITH

October 2013

Paragraph headings may be used. Quotation marks should be single throughout. References should not be used, but citations may appear if they represent the basis upon which the research was undertaken.

Abstract text
Single line spaced

Key words:

Annex 5

Copyright and your Doctoral Theses

1. Copyright in theses is normally held by the author, so as the author you will own the copyright in your Anglia Ruskin thesis, unless you have made an agreement to transfer it, for example to a sponsor.
2. When you submit your thesis for examination you will be required to complete a Thesis Deposit Agreement form. By signing this form you are agreeing that a digital copy of your thesis will be lodged in ARRO (Anglia Ruskin Research Online), in the library of any collaborating institution and in the British Library's collection of UK theses, EthOS. This will make your research widely accessible to other researchers and the public.
3. When you submit your thesis you will though be able to request that it is placed under limited access. This may be because of the commercially sensitive or confidential material it contains. One further reason for requesting this may be because of the copyright material it contains. The sections that follow explain more about provisions for the use of copyright material in digital theses.
4. If you have included copyright material belonging to someone else, called **3rd party copyright material**, in your thesis, you will need to assess whether you need to get permission to include this material in the digital version of your thesis.
5. The Copyright, Designs and Patents Act 1988, the primary UK legislation governing copyright, provides for the reproduction of limited amounts of copyright material under '**fair dealing for criticism or review**' without permission so long as they are properly cited and, if images, are not cropped or altered. This '**fair dealing**' exclusion is reasonably likely to apply to your use of 3rd party material - such as extracts from publications, books or journals, whether text or illustrations - in a doctoral thesis. Guidelines on what could reasonably be considered fair are given below.
6. If you have included 3rd party copyright material which has not been published, for example photographs of art works in a gallery or copies of web documentation of a performance, or you are including a substantial amount or the whole of a work then you will need to seek permission from the copyright holder to include that in your thesis. This is because copyright includes the right to distribute the work.
7. Please note that while students are being asked to make best efforts to seek permission to include 3rd party copyright material in the electronic version of their thesis you will not be penalised if it is not possible to gain permission, either because permissions are not granted, or because it would either be too onerous or too expensive to obtain permissions. The outcome of your examination will not be affected in any way. No student will be required to make any payments to copyright holders for material they wish to include in their thesis.
8. If the 3rd party copyright material within your thesis consists of a **short quotation** from a published work and you have acknowledged and referenced it adequately it will probably not be necessary to seek permission from the copyright holder. Copyright law does not define how much material can be reproduced for this purpose, however, authors' and publishers' associations and others provide useful guidelines on quantitative limits:

9. The [Design and Artists Copyright Society \(DACS\)](http://www.dacs.org.uk/knowledge-base/factsheets/exceptions-and-limitations), an organisation that primarily represents artistic work rights holders, provides a Fact Sheet entitled 'Exceptions to Copyright' (<http://www.dacs.org.uk/knowledge-base/factsheets/exceptions-and-limitations>). If in doubt, it is best to **seek permission**. Ideally you should seek permission to include 3rd party copyright material in your thesis as you go along rather than at the point of writing up your thesis.
10. If you intend to include material that **you yourself have published**, e.g. **journal articles**, you need to check if the publisher will permit you to include these as part of your thesis. The easiest way to do this is by contacting the publisher directly and checking. Most publishers will permit this.
11. To seek permission to include 3rd party material within the electronic version of your thesis you need to contact the **rights holder**. This may be the **author** of a work, a **publisher**, an **illustrator** etc. In the case of material from books and journals your first course of action should be to contact the publisher. Many publishers give details on their web site of how to seek permission and who to contact. Look for information on rights/permissions/copyright clearance. If the publisher does not hold the rights to the work they should forward your enquiry to whoever does.
12. Once you have established who to contact you should send a letter or e-mail to the rights holder asking permission to include the material in the electronic version of your thesis.
13. If the rights holder does not reply immediately you may choose to contact them again. However, note that you may not deem a lack of response as permission to go ahead.
14. If a copyright holder indicates that permission has been granted you should indicate this at the appropriate point in your thesis, e.g. 'Permission to reproduce this ... has been granted by...'. You should keep a copy of any letters or e-mails you received from rights holders.
15. If you need to include 3rd party copyright material in your thesis and are unable to obtain permission or are asked to pay to do this **you will not be able to make the full version of the thesis publicly available online**. You will need to request restricted access to the digital version of your thesis because of copyright restrictions. However, you are still required to deposit a digital copy of your thesis which will be held securely.
16. Note that it may be necessary to restrict access to your thesis on the grounds that 3rd party permissions have not been granted **in addition to** requesting an embargo in relation to, e.g. commercially sensitive or confidential material.
17. If in doubt about whether you need to get permission to include any material within your thesis it is always best to err on the side of caution and assume that you do. If you have specific queries you should discuss them with your supervisor.

Annex 6
Specimen Title Page

ANGLIA RUSKIN UNIVERSITY

THE SPATIAL DISTRIBUTION OF
MANX CATS IN THE OUTER HEBRIDES

JEAN SMITH

A thesis in partial fulfilment of the
requirements of Anglia Ruskin University
for the degree of ... (A)

This research programme was carried out
in collaboration with the Hebrides Regional Health Authority
at (B)

Submitted: March 2013

Note:

- A Please insert the title of the degree for which the thesis has been submitted
- B Please insert the name of the educational institution where the candidate was registered for this award, if this was NOT Anglia Ruskin University

Annex 7

Binding

1. Arrangements should be made with a reputable bindery for a thesis to be bound. Candidates should note that binding is an overnight process and is not a same day service. Further information regarding the presentation of the thesis can be found in section 10.
2. It is the responsibility of candidates to ensure that their chosen bindery is familiar with the technical specifications contained in this document.
3. Candidates are advised to take careful note of stipulations which binderies expect, ie. date of delivery, number of copies, timescale of binding, etc.
4. The choice of a bindery is at the discretion of each candidate.

Note For Binders on Binding

The binding of theses shall be in black buckram, or in an alternative black material such as superior leathercloth.

Plates and diagrams must be guarded where necessary.

Trim head, tail and fore-edge and line up spine.

Specimen Spine for Bound Thesis

Ph.D. 2013

(25mm from tail of the spine)

J. SMITH

(starting not lower than the centre of the spine)

Annex 8

Student Complaints Procedure

1 Introduction

It is our policy to deal as quickly and fairly as possible with any complaint you may have about your treatment by a fellow-student; or one of our employees, services or departments. The purpose of this procedure is to give you an opportunity to sort out any such problem. We will sort out complaints at the earliest possible stage in the procedure and make every effort to do so informally. However, some complaints may be difficult to deal with informally and you may wish to make a formal complaint³.

If you wish to make a formal complaint about another student then you should use the student disciplinary procedure (see p 22).

If you wish to complain about assessment or other regulations relating to courses of study then this should be dealt with using the Academic Appeals Procedure, details of which can be found (<http://web.anglia.ac.uk/anet/academic/appeals/index.phtml>) or by emailing :- student-appeals@anglia.ac.uk).

This procedure deals with:

- complaints about a student's experience at Anglia Ruskin University, including relationships with any non-teaching service;
- complaints to do with discrimination by us; and
- complaints for reasons of maladministration.

In cases where it is not clear which procedure should be used, the Secretary and Clerk can be consulted and will decide. You can appeal against a decision of the Secretary and Clerk to an appeals committee of the Board of Governors within 10 working days of the Secretary and Clerk's decision.

2 Procedure

When you make your formal complaint, you must provide details of your attempts to sort the matter out informally. The Secretary and Clerk will be able to refer back complaints to the person who made the complaint if they are not satisfied that the person has tried to sort out the complaint informally. If we take this action, we will give you enough time to sort the matter out informally. However, the Secretary and Clerk will give a deadline for sending in a CS1 form if this is needed.

2.1 Stage 1

- a All complaints will be raised by you filling in a CS1 form and sending this to the Secretary and Clerk's office within three calendar months of the incident or the event the complaint is about. If the complaint relates to a series of incidents or events, you must make the complaint within three calendar months of the first incident or event.

³ When you make your formal complaint, you must provide details of your attempts to sort the matter out informally. The Secretary and Clerk will be able to refer back complaints to the person who made the complaint if they are not satisfied that the person has tried to sort out the complaint informally. If we take this action, we will give you enough time to sort the matter out informally. However, the Secretary and Clerk will give a deadline for sending in a CS1 form if this is needed.

- b** When we receive the completed CS1 form, the Secretary and Clerk's office will send it to the relevant Pro-Vice-Chancellor and Dean or head of support service, who will then investigate the complaint. They will normally reply in writing within 15 working days of receiving the complaint. Both sides will have the chance to state their case. A copy of the reply will be sent to the Secretary and Clerk's office.

2.2 Stage 2

- a** If the complaint is not sorted out, it may move to stage 2, if you fill in a CS2 form and send this to the Secretary and Clerk's office, normally within 15 working days of the date of the written notice in section 2b above. The sides may change the time limit to take account of the difficulties of either or both sides being able to access information over holiday periods.
- b** When we receive the completed CS2 form, the Secretary and Clerk will send it to the Vice Chancellor (or someone the Vice Chancellor has chosen). Having considered the complaint, they will give you their decision in writing, normally within 15 working days of receiving a filled-in CS2 form. A copy of the Vice Chancellor's reply will be sent to the Secretary and Clerk's office.

2.3 Stage 3

- a** If the complaint is not sorted out, the complaint may move to stage 3. You will need to fill in a CS3 form and send this to the Secretary and Clerk's office, normally within 10 working days of the date of the Vice Chancellor's written decision for your complaint to be considered by an appeals committee of the Board of Governors.

3 Office of the Independent Adjudicator for Higher Education (OIA)

- a** The OIA is an independent body set up to review student complaints in higher education. If you are not satisfied with the outcome of your appeal, you may be able to apply for a review of your complaint to the Office of the Independent Adjudicator for Higher Education (OIA) as long as your complaint is eligible for them to consider under their rules. You can find guidance on making a complaint to the OIA on their website www.oiahe.org.uk. You may also want to get advice from the Students' Union about taking your complaint to the OIA.

4 Notes

- a** The sides may agree to change the time limits to suit the circumstances of the case.
- b** This procedure will not apply to people who hold senior posts under our Articles of Government. The Board of Governors will decide on any special procedures for dealing with complaints against these members of staff.
- c** If, for whatever reason it is not possible to deal with a complaint within the set period, the Pro-Vice-Chancellor and Dean or head of support service or Vice Chancellor will tell you in writing when they expect to be able to give you their decision.

Approved March 1994
Amended June 1998
Amended October 2004
Amended July 2007
Amended April 2009

Amended April 2014
Amended April 2015

Annex 9

Senate Code of Practice on Research Degrees

Foreword

This Senate Code of Practice is one of a series of Codes through which, in conjunction with other mechanisms, Anglia Ruskin University's academic standards and quality of education are maintained, assured and enhanced.

Each Code of Practice has been approved by the Senate for use throughout Anglia Ruskin University and its partner institutions. The complete set of Codes, as at July 2015, covers:

- Admissions
- The Assessment of Students
- Collaborative Provision
- Curriculum Approval and Review
- External Examiners for Taught Courses
- Research Degrees⁴
- Work Based and Placement Learning

The Codes are closely linked and share common elements of quality assurance policy and practice at Anglia Ruskin University. They should therefore be read as a set.

The document is particularly intended for those staff within Anglia Ruskin who are involved in the supervision, management and examination of research degrees approved by Anglia Ruskin University and candidates registered on an Anglia Ruskin research degree. This Code of Practice also applies to Anglia Ruskin's Research Degrees delivered at Associate Colleges. Key staff include members of the Corporate Management Team, Deans of Faculty, Deputy Deans, Heads of Department, Directors of Research, Directors of Research Students, Supervisors, Director of Research, Research Development and Commercial Services, Chairs and Secretaries of Faculty Research Degrees Subcommittees, Faculty Research Administrators and other senior management and administrative staff within Anglia Ruskin. This edition of the Code of Practice incorporates revisions approved by the Senate on 17 June 2015.

Further copies of this Code of Practice are available upon request from the Research Degrees Unit of the Academic Office.

A separate document setting out the detailed procedural arrangements for Research Degrees is also available from the Research Degrees Unit, Academic Office.

An electronic copy of this Code of Practice is available at:

www.anglia.ac.uk/codes

Paul Baxter
Director, Academic Office
July 2015

⁴First approved by the Senate on 12 October 2005. Subsequent revisions approved by the Senate on: 11 July 2006, 25 June 2008, 25 June 2009, 24 June 2010, 22 June 2011, 20 June 2012, 19 June 2013, 18 June 2014 and 17 June 2015.

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Senate Code of Practice on Research Degrees

1. Introduction

- 1.1. This Code of Practice has been approved by the Senate and is based on the indicators contained in Chapter B11 of the QAA's UK Quality Code for Higher Education. This Code has been informed by the QAA's Doctoral Degree Characteristics. It complements other Senate Codes of Practice for specific quality assurance activities.
- 1.2. This Code of Practice applies to MPhil/PhD, MD (Res), PhD awarded on the basis of published work, Professional Doctorates, Professional Masters and the Postgraduate Diploma in Professional Research.
- 1.3. This Code of Practice is published as an annex to the Research Degrees Regulations and on the Anglia Ruskin University website (www.anglia.ac.uk/codes)
- 1.4. The Code complements other Senate Codes of Practice for specific quality assurance activities including:
 - Admissions
 - The Assessment of Students
 - Collaborative Provision
 - Curriculum Approval and Review
 - External Examiners for Taught Courses
 - Work-Based and Placement Learning

2. Research Degrees Regulations

- 2.1. Anglia Ruskin University's Research Degrees Regulations are in five parts:

Part A applies to the awards of MPhil/PhD, Doctor of Medicine by Research, Professional Doctorates, Professional Masters and Postgraduate Diploma in Professional Research and covers:

- admission of students
- approval of research proposal
- timescales for completion
- academic honesty
- academic appeals
- supervision
- confirmation of approval as a candidate for PhD / MD (Res) / Professional Doctorate
- Writing Up stage
- the thesis
- the candidate's responsibilities in the examination
- the examiners
- first examination
- re-examination
- review of an examination decision
- complaints
- the QAA qualification descriptors for Masters and Doctoral degrees can be found in Annex 1.

Part B applies to the award of PhD by Published Work and covers:

- eligibility of candidates
- registration
- appointment of the supervisor
- appointment of examiners
- examination
- examination arrangements

Part C applies to the specific requirements for the awards of Professional Doctorate, Professional Masters and Postgraduate Diploma in Professional Research and includes:

- entry requirements
- periods of registration
- attendance at workshops
- stage 1
- confirmation of candidature
- assessment requirements and criteria
- conferment of awards as intermediate awards

Part D applies to the award of Anglia Ruskin University's Higher Doctorates and covers:

- standard of the award
- entry requirements
- application
- assessment
- fees

Part E applies to the specific requirements for the award of Anglia Ruskin University's Doctor of Medicine by Research and covers:

- entry requirements
- concurrent study
- timescales for completion
- supervision
- progression
- requirements of an MD (Res) thesis
- the examiners

2.2. Copies of the Research Degrees Regulations are available from the Research Degrees Unit in the Academic Office. Members of Anglia Ruskin University's Research Committee, Research Degrees Subcommittee, members of Research Development and Commercial Services, Examiners and Chairs of Examinations are automatically sent copies of the Regulations. All new research degree candidates receive a copy of the Regulations with updated versions being available on My.Anglia. Individual supervisors receive a copy of the Regulations on appointment with updated versions being sent to all supervisors. All members of staff and students can access the Research Degrees Regulations electronically via My.Anglia at:

www.anglia.ac.uk/researchregs

2.3. The Research Degrees Regulations are reviewed annually by the Research Degrees Subcommittee and proposed changes are submitted to Senate for approval. An updated version of the Regulations is published as needed.

2.4. In addition, the Research Degrees Handbook (which is available on the Research Development and Commercial Services website at: <http://web.anglia.ac.uk/anet/rdcs/research/handbook.phtml>) includes a section on research

degrees criteria which directs candidate's attention to issues of scholarship, the presentation and handling of ideas as well as aspects of writing. Positive features of a doctorate are identified as well as negative characteristics which are to be avoided. The notions of 'originality' and 'publishability' are also explained and are developed further within the generic Research Training Programme.

3. Monitoring of Postgraduate Research Degrees

3.1. In monitoring the success of its postgraduate research programmes the Research Degrees Subcommittee considers progress against milestones set out in the Corporate Plan as well as the following nationally recognised evidence on an annual basis:

- number of candidates per supervisor
- analysis of comments from examiners and frequency of appointment of examiners
- report on annual monitoring
- withdrawal, submission and completion rates
- report on Student Research Training Programme
- submission and completion times and rates
- pass, referral and fail rates
- the number of appeals and complaints, the reasons for them and how many are upheld
- recruitment profiles
- the results of the HEA Postgraduate Research Experience Survey (PRES)

3.2. Faculty Research Degrees Subcommittees regularly review all candidates' progress.

3.3. Membership of Anglia Ruskin University's Research Committee, Research Degrees Subcommittee, Faculty Research Subcommittee (of the Faculty Board) and the Student Experience Committee includes student representation.

4. The Research Environment

4.1. Anglia Ruskin University offers a research environment in which there is:

- the opportunity and encouragement to exchange and develop ideas with people at appropriate levels who are also engaged in doing and learning about research and pursuing established research programmes. This is further enhanced through the dissemination of good practice via research seminars and cohort registrations ensure that student interaction is enhanced
- opportunities for links with the wider professional community in relevant subject areas, e.g. through the professional doctorate programmes and conference attendance
- ready access to academic colleagues and others able to give advice and support
- the availability of adequate learning and research tools, including access to IT equipment, library and electronic publications
- the opportunity for candidates to develop peer support networks at the Faculty level, where issues or problems can be discussed informally
- supervision that encourages the development and successful pursuance of a programme of research
- guidance on the ethical pursuit of research and the avoidance of research misconduct including breaches of intellectual property rights
- support in developing research-related skills that contribute to the candidate's ability to complete the programme successfully
- the availability of advice on career development which is available at any time during candidates' studies or after graduation
- access to welfare and support facilities

- the opportunity for student representation on the Research Committee, Research Degrees Subcommittee, the Student Experience Committee and the Faculty Research Subcommittee (of the Faculty Board)
- access to details of institutional research output which are published on the Research Professional database and Anglia Ruskin's Institutional Repository, ARRO
- the opportunity to apply for external funding, details of which are published on the Research Development and Commercial Services website at http://web.anglia.ac.uk/anet/rdcs/uk_funding/Funding_opportunities.phtml
- access to a range of development opportunities that contribute to candidates' ability to develop personal and where appropriate employment-related skills as identified in the Researcher Development Statement
- opportunities for candidates to raise complaints or appeal

5. Selection, Admission and Induction of Students

- 5.1. Students may be admitted at the following entry points: September, January, April, and June. Admissions criteria are published on Anglia Ruskin University's website, on the Research Development and Commercial Services website, and in Anglia Ruskin University's Research Degrees Regulations.
- 5.2. An applicant for registration for the degree of MPhil/PhD or Professional Doctorate normally holds a first or upper second class honours degree of a University in the UK or a qualification which is regarded by the Research Degrees Subcommittee as equivalent to an Honours Degree.
- 5.3. To be eligible for registration for the MD (Res) degree a candidate must have a registrable qualification in Medicine and be eligible for full registration or hold limited registration with the General Medical Council.
- 5.4. Details of internal and external funding opportunities are published on the Research Development and Commercial Services website. Anglia Ruskin University also advertises studentships externally (if appropriate) when they are available.
- 5.5. Applicants are invited to complete an online application form, available on the Anglia Ruskin University website. This invites potential applicants to state if they have any special needs so that their requirements can be discussed with Student Support Services at an early stage in the admission process.
- 5.6. Anglia Ruskin University's English Language requirements (normally IELTS 6.5/TOEFL 600 or equivalent) are published on the website. The opportunity for support in English language is made available if required.
- 5.7. Admission decisions involve the Faculty Director of Research/Research Students (or Programme Director for Professional Doctorate/Masters Programmes) plus at least one other member of the Faculty who have received training, advice and guidance for selection and admission of research degrees candidates, including legal requirements.
- 5.8. Applications for PhD by Published Work are considered by a sub-panel of the appropriate Faculty Research Degrees Subcommittee.
- 5.9. All operational decisions related to research student admissions are the responsibility of the Faculty. Once instructed by the Faculty, responsibility for initial and re-registration lies with the Registration and Audit Unit in the Finance Department supported by the Faculty. Responsibility for managing the external assessment of candidates' work and academic progress monitoring is the responsibility of Faculty Research Degrees Subcommittees (FRDSCs) supported centrally by the Academic Office.

5.10. Successful applicants receive a formal offer letter which constitutes a contract between the student and Anglia Ruskin University. This letter includes the following information:

- expected total fees
- expected period of study for which the student is registered
- the name and contact details of the Supervisor appointed to assist the student in developing their research proposal
- details of the Faculty in which the student will be located
- if full time, details of space and facilities allocated for personal use
- the nature of programmes and specific requirements, e.g. registration; re-registration; approval; confirmation of candidature; examination; annual monitoring
- outline of the Research Student Training Programme
- the name of the Faculty Director of Research/Research Students whom the student can contact if they are experiencing problems
- details of where they can access:
 - a separate booklet on Intellectual Property rights
 - a copy of the Research Degrees Regulations
 - a copy of the Research Degrees Handbook which sets out the rights and the responsibilities of research degrees candidates and supervisors; an overview of the administrative procedures; guidance on doctoral assessment criteria; ethics procedures and general information about Anglia Ruskin University facilities
 - Student Charter for Research Degree Students

Other information is provided separately e.g. the requirements and conditions of any sponsor.

5.11. Anglia Ruskin University may take up references as appropriate in accordance with the standard Anglia Ruskin University procedures.

5.12. Standard Anglia Ruskin University processes are used for assessing any claims made for the accreditation of prior learning gained through professional practice or other appropriate work experience or study.

5.13. Once students have registered as a student of Anglia Ruskin University they are required to attend Stage 1 of the Anglia Ruskin University's Research Training Programme (Induction). At the institutional level the induction programme includes general information about Anglia Ruskin University, administrative procedures and requirements including Progress Platform (the online progress monitoring system), guidance on research ethics, appeals and complaints procedures, issues to be considered when establishing working relationships with supervisors, Research Degrees Regulations and regulations concerning plagiarism, student support and welfare services, including Student Union services, guidance and support in undertaking teaching, opportunities for student representation on Anglia Ruskin University's Research Committee, Research Degrees Subcommittee and Student Experience Committee and opportunities for skills development.

5.14. At the Faculty level the induction programme includes the facilities that are made available to students, relevant health and safety information, opportunities for meeting other research degrees candidates and staff, opportunities to undertake teaching, including training requirements, reference to the challenges that research degrees candidates typically encounter and where guidance can be sought.

5.15. Candidates should meet with their First Supervisor at the earliest opportunity to agree on a plan of work and identify any training needs through completion of the Research Skills

Training Needs Analysis. The plan of work that the candidate and First Supervisor agree should include:

- the initial objectives and timescales of the research
- the development and general educational needs of the candidate, measured against the Vitae Researcher Development Framework, where appropriate
- the means by which the candidate and the supervisory team will communicate, including the frequency
- the means of monitoring progress

5.16 All research degrees students and their supervisors must use Progress Platform, the online progress monitoring system. Separate training guides are available at <http://web.anglia.ac.uk/anel/rdcs/research/info/progressplatform.phtml>

6. Supervision

6.1. The entire Supervisory Team is considered as part of the formal approval of a candidate's research proposal. Approval of a candidate's research proposal is conditional upon the satisfactory composition of the Supervisory Team. Specific criteria concerning the composition of the Supervisory Team is set out in the Research Degrees Regulations.

In appointing supervisors, account is taken of the supervisory workload of the individual being nominated as a supervisor. The following allocation is adopted:

First Supervisor	Full-time student	1 FTE
	Part-time student	0.5 FTE
Second or subsequent supervisor	Full-time student	0.5 FTE
	Part-time student	0.25 FTE

Supervisors may normally supervise up to 8 full-time equivalent (FTE) research degrees students, to a total of 15 research degrees students (head count).

- 6.2. All research degrees candidates located overseas must receive face-to-face supervision on a regular basis. This should be achieved by the appointment of a local supervisor. It is advisable that supervisors based overseas have access to a mentor/colleague at Anglia Ruskin University to provide guidance. Where the appointment of a local supervisor is not possible steps must be taken to provide the equivalent web-based face-to-face experience. The form and frequency of supervision must be specified at the point the supervisory team is approved. All supervisors new to supervising at doctoral level must attend supervisory training at Anglia Ruskin.
- 6.3. Each member of the supervisory team must have attended the centrally provided Research Supervisor Training Programme (or equivalent) or undertaken recent relevant continuing professional development, as a condition of the candidate's approval. New supervisors must be part of an experienced supervisory team.
- 6.4. Members of supervisory teams for candidates registered for the award of Doctor of Medicine must attend the Anglia Ruskin University Supervisor Training Programme.
- 6.5. Existing supervisors are expected to take the initiative in updating their knowledge and skills and to demonstrate their continuing professional development through participation in a range of activities, e.g. supervisors' support groups within Faculties and supervisors' conferences.
- 6.6. Unless they are granted exemption by the Faculty Director of Research, all First Supervisors will be required either to attend Introduction to Research Ethics and Integrity

(in Human Research) training offered by Research Development and Commercial Services or pass the online Epigeum course Ethics 1 – Good Research Practice. In addition, First Supervisors must also pass the online Epigeum course Ethics 2 – Research with Human Subjects in the Health and Social Sciences.

- 6.7. The Expectations of First Supervisors document published on the Research, Development and Commercial Services website sets out the expectations, together with details of sources of further information to support First Supervisors in their role.
- 6.8. If a First Supervisor is absent for a period of more than 2 months alternative supervisory arrangements are put in place by the Faculty's Director of Research/Research Students.
- 6.9. Candidates and supervisors are jointly responsible for ensuring that regular and frequent contact is maintained. At the end of each supervisory meeting the supervisor and candidate should complete a record of the meeting using the template provided for such record keeping, which must be added to Progress Platform.
- 6.10. The Research Degrees Handbook states the number of hours of research supervision that a candidate can normally expect, although it is recognised that this may vary between disciplines and different types of research project.
- 6.11. If the relationship between the First Supervisor and the candidate is not working well, the Faculty's Director of Research/Research Students is expected to provide independent advice to the student. By agreement with the Faculty, and within resource limitations, either the student or First Supervisor can request a change in the composition of the Supervisory Team. This change is approved by the Faculty Research Degrees Subcommittee.
- 6.12. The Research Degrees Handbook sets out the responsibilities of research degrees candidates and the responsibilities of research supervisors.
- 6.13. The Student Charter for Research Degree Students sets out what candidates can expect of us and what we expect of them.

7. Progress and Review Arrangements

- 7.1. Monitoring of the academic progress of research degrees candidates is conducted by Faculty Research Degrees Subcommittees.
- 7.2. Anglia Ruskin University operates three procedures for monitoring the academic progress of research degrees candidates. These are:
 - Approval of the research proposal
 - Confirmation of Candidature / progression
 - Faculty Annual Monitoring.

These procedures are detailed below.

Approval Procedure

- 7.3. All research degrees candidates, part time and full time, for PhD, MD (Res) and MPhil are required to apply for Approval of their research proposal as follows:

Month of Registration	Research Proposal deadline (Full-time Candidates)	Research Proposal Deadline (Part-time Candidates)
September	28 October	28 November
January	28 February	28 March

April
June

28 May
28 July

28 June
28 August

- 7.4. All research degrees candidates, part-time and full-time, for Professional Doctorate and Professional Masters are required to apply for approval of their research proposal no later than 12 months for full-time candidates and no later than 24 months for part-time candidates, after initial registration.
- 7.5. Approval is intended to ensure that:
- The research candidate is appropriately qualified to undertake a higher degree by research
 - The proposed research project is of a standard suitable for the level of award identified
 - The Supervisory Team is appropriately qualified to supervise the research project and constituted in accordance with the Research Degrees Regulations
 - Appropriate ethics approval has been, or will be, obtained
 - A suitable programme of related training has been identified
- 7.6. Research degrees candidates seeking approval are required to submit their Research Proposal Form via ProgressPlatform.
- 7.7. Research degree candidates must submit the Research Proposal Ethics Checklist with their Research Proposal form. This does not constitute applying for ethical approval, which is a separate process. It is recognised that some of the responses given on the Research Proposal Ethics Checklist may have changed by the time candidates apply for ethical approval.
- 7.8. Candidates must comply with Anglia Ruskin's ethical review procedures. Information regarding this is at:
<http://www.anglia.ac.uk/researchethics>
- 7.9. Faculties are responsible for approving research proposals and the supervisory team. The subject specialist supervisor and Chair of the Faculty Research Degrees Subcommittee are required to sign a Research Proposal Approval Form indicating their decision. The decision is communicated in writing to the candidate and all members of the Supervisory Team by the Research Degrees Unit, Academic Office.
- 7.10. All research degrees candidates are required to attend an annual monitoring review meeting in every year of registration. The annual monitoring process is compulsory for all students except those who have formally submitted their thesis to the Academic Office and those registered for PhD by Published Work, for whom alternative monitoring arrangements exist (see Part B, paragraph 5.2). Candidates who are required to resubmit their thesis for re-examination following their viva voce examination must have an annual monitoring meeting within four months of the date the examiners' feedback is sent to the candidate following their viva voce examination.
- 7.11. The annual monitoring review meetings must be held face-to-face for all full-time students, however for part-time students this may take place using a video link and for students located overseas teleconferencing may be used. The annual review meeting will be attended by the student, at least one member of the supervisory team (preferably the First Supervisor), and an independent convenor. Evidence of engagement by the full supervisory team must be submitted to the independent convenor where it is not possible for all supervisors to attend. For MD (Res) students one of the supervisors attending the review meeting must be the medical practitioner. For students on Stage One of the Professional Doctorate only the Programme Director will be formally required to attend the meeting along with the student and the convenor. The convenor will be a member of

staff who is independent of the supervisory team, has knowledge of the broad subject area of the research and experience of research student supervision.

Confirmation of Candidature for PhD, MD (Res), Professional Doctorate or Progression from MPhil to PhD

7.12 All candidates for PhD and MD(Res) are required to apply for Confirmation of Candidature or progression from MPhil to PhD between 9-18 months after registration for full-time candidates and between 15-24 months after registration for part-time candidates. Professional Doctorate candidates should apply for Confirmation of Candidature no later than three years after registration for part-time candidates and no later than two years after registration for part-time candidates who studied Stage 1 on a full-time basis.

7.13 Confirmation of Candidature for PhD, MD (Res), Professional Doctorate or progression from MPhil to PhD is intended to ensure that:

- the candidate's research is developing into an appropriate doctoral research topic of sufficient scope and depth
- the candidate has identified the context of the research and how it relates to other work in the discipline
- the candidate is demonstrating independent critical thinking
- the candidate is demonstrating that the research will lead to a significant contribution to knowledge in the discipline
- the candidate is acquiring appropriate research skills and techniques
- the candidate has provided a realistic programme of future activities that will lead to the award of the PhD / MD (Res) / Professional Doctorate

Procedure

7.14 Candidates seeking Confirmation of Candidature for PhD, MD (Res), Professional Doctorate or progression from MPhil to PhD are required to submit the following documentation:

For students registering from September 2015 onwards

(a) A report, of normally no more than 6,000 words, that evidences achievements and progress following submission of the research proposal. The report should include:

- Introduction, giving the context of the work
- Research question and hypothesis
- Section on methodology
- Substantial piece of work towards the thesis objectives
- Plan and timescale for the remainder of the work.

The report should demonstrate to the satisfaction of the Faculty Research Degrees Subcommittee (FRDSC) (or sub-group which must include the Chair of the FRDSC and two other members of the FRDSC):

- Evidence of originality in the report
- A significant contribution to knowledge
- The potential for a successful outcome at doctoral level.

(b) completed form RD4 together with a copy of the Turnitin Originality report. The First Supervisor should nominate two internal assessors, approved by the Chair or Vice Chair. These assessors must be independent of the supervisory team and have experience of

supervising research degrees. At least one assessor must have knowledge and expertise in the subject area. The assessors must be approved by the Faculty Research Degrees Subcommittee. If there is no one within Anglia Ruskin University with the necessary knowledge and expertise an external assessor must be sought. The Chair of the Faculty Research Degrees Subcommittee shall be responsible for determining whether or not an external assessor is required.

For students registered prior to September 2015

- (a) a report, of no more than 3,000 words, that evidences achievements and progress following the submission of the research proposal. The report should include:
- a statement of the likely original contribution to knowledge
 - an outline of the approach to the research/methodology/conceptual framework
 - a critical review of the research undertaken to date
 - an indicative thesis structure
 - an action plan detailing the necessary steps to completion
- (b) two examples of doctoral level work in progress. Where there is more than a single contributor to a publication, a signed statement by the candidate indicating the extent of the contribution by other collaborating researchers with reference to the contribution to design, analysis, conduct of the research and writing up of the publication, should be provided. Collaborators will be asked to endorse this statement. These examples could take the form of extracts from publications, two draft chapters up to a maximum total of 10,000 words or other material relevant to the discipline. Taken together these examples should demonstrate to the satisfaction of the Faculty Research Degrees Subcommittee:-
- evidence of originality in the research
 - a significant contribution to knowledge
 - the potential for a successful outcome at doctoral level
- (c) completed form RD4, endorsed by the First Supervisor should nominate two internal assessors approved by the Chair or Vice Chair and a copy of the Turnitin Originality report must also be submitted with the RD4 form. These assessors must be independent of the supervisory team and have experience of supervising research degrees. At least one assessor must have knowledge and expertise in the subject area. The assessors must be approved by the Faculty Research Degrees Subcommittee. If there is no one within Anglia Ruskin University with the necessary knowledge and expertise an external assessor must be sought. The Chair of the Faculty Research Degrees Subcommittee shall be responsible for determining whether or not an external assessor is required

7.15 The documentation is sent to the identified assessors who are invited to comment on specific issues as identified on the RD13 form. These comments are circulated to the Faculty Research Degrees Subcommittee prior to the meeting and form the basis of its discussion and decision.

7.16 Before the application is presented to the Faculty Research Degrees Subcommittee candidates shall normally be examined orally on their application by two or more assessors, who are independent of the supervisory team and have experience of supervising research degrees. At least one assessor must have knowledge and expertise in the subject area. The assessors must be approved by the Faculty Research Degrees Subcommittee. Alternatively, candidates can give an oral presentation of their work in progress at a Departmental or Faculty research seminar or equivalent. The audience must include two assessors who are independent of the supervisory team and have been

approved by the Faculty Research Degrees Subcommittee. The assessors are required to complete form RD13A, commenting on the oral presentation.

7.17 In either case, evidence of the candidate's performance in the oral presentation will be taken into account by the Faculty Research Degrees Subcommittee in considering the application.

7.18 The Faculty Research Degrees Subcommittee normally considers form RD4, the progress report and the written comments of the assessors. Decisions are communicated in writing to the candidate and all members of the Supervisory Team. Feedback normally includes the detailed comments of the internal and external assessors.

Faculty Annual Monitoring Procedure

7.19 All research degree candidates, except those registered for a PhD by Published Work, are required to attend an annual monitoring review meeting in every year of registration. The review meetings will involve the candidate, at least one member of the supervisory team and a convenor who is independent of the supervisory team. Evidence of engagement by the full supervisory team must be submitted to the convenor. All candidates are offered the opportunity to have a confidential meeting with the convenor at the start of the meeting.

7.20 The purpose of annual monitoring is:

For students:

- To evaluate their progress throughout the year
- To identify any unmet or changed training needs
- To identify a timetable of work and targets for the forthcoming year
- To have an agreed statement of the expectations on themselves and their supervisory team during the year
- To encourage students to reflect on their progress

For supervisors/Faculties:

- To evaluate each candidate's progress, conceptual thinking and achievements
- To identify any areas of concern and any remedial action required to support the student in achieving their timetable of work and targets, in order to meet their submission date
- To confirm whether or not progress is satisfactory and identify a plan of action to support the student where progress is deemed to be unsatisfactory
- To have an agreed statement of the expectations of the candidate and the supervisory team during the forthcoming year
- To inform the enhancement of the Faculty Research Training Programme
- To identify any development needs amongst the supervisory team to ensure the student is being fully supported

For Anglia Ruskin University:

- To assist in improving our completion rates
- To enhance the quality of the research degrees students' experience
- To provide evidence of compliance with the Senate Code of Practice on Research Degrees
- To inform any reviews of Faculty/Anglia Ruskin University level processes
- To inform the enhancement of Anglia Ruskin University generic research training programme

- 7.21 Notes of guidance on the process and information required at the meetings are provided for students and convenors.
- 7.22 The convenor of the Annual Review meeting completes a summary report form following discussion with the student and supervisor. All completed summary reports from the convenors of Annual Review meetings highlighting the student's achievements during the year and/or any concerns about students' progress shall be considered by the Director of Research Students on an annual basis.
- 7.23 Each Faculty is required to produce an overview report, based on a template provided by the Academic Office. Associate Colleges are also required to produce an annual monitoring report which forms part of the Faculty's overview report. A SMART (specific, measurable, agreed, realistic, timebound) Action Plan to accompany the Faculty overview report is also produced. The Faculty overview reports are used as a basis for the Anglia Ruskin University report on Annual Monitoring produced by the Academic Office, which is considered by the Research Degrees Subcommittee, Research Committee and Senate each year.

Re-registration

- 7.24 All students are required to re-register online using e-Vision annually.

Extensions

- 7.25 All candidates are required to complete their studies within the maximum period of 60 months for full-time candidates and 72 months for part-time PhD candidates and Professional Doctorate candidates. MD (Res) candidates are required to complete their studies within the maximum period of 48 months for full-time candidates and 72 months for part-time candidates. Candidates who are likely to exceed this period must seek approval supported by relevant evidence, to extend their registrations, prior to the date of expiry, from the Faculty Research Degrees Subcommittee. In making their decision the FRDSC takes into account the progress made by the candidate, any previous requests for intermission or extensions and the validity of the evidence provided by the candidate. Extensions are usually for a period of up to six months and may not exceed 12 months. Extensions may not exceed the end of the Writing Up Stage.
- 7.26 Further extensions may be granted by the Faculty Research Degrees Subcommittee only in exceptional and unforeseen circumstances and must be accompanied by appropriate evidence of progress.
- 7.27 If a candidate requires an extension to their current student visa they should seek advice from an International Student Adviser at least two months before their current visa expires.

Withdrawals

- 7.28 Candidates who wish to withdraw from their studies are required to notify the Faculty Research Degrees Subcommittee on the appropriate form available from the Faculty Research Degrees Subcommittee Secretary. All student withdrawals are reported to the Research Degrees Subcommittee.
- 7.29 The circumstances in which a candidate's registration may be terminated by the FRDSC are set out in Section 4 of the Research Degrees Regulations.

Intermissions

7.30 Candidates who wish to intermit from their studies must seek approval from the Faculty Research Degrees Subcommittee, normally prior to the date of commencement. Requests to intermit should be made by completing the appropriate form available from the Faculty Research Degrees Subcommittee Secretary. Intermission may only be granted for a period of up to six months, excluding maternity, shared parental and adoption leave, unless there are exceptional circumstances. Any further exceptional request must be submitted to the Chair of the Research Degrees Subcommittee for approval. Failure to obtain approval for intermission means that research degrees candidates are liable for the full level of fees during the period. During the period of intermission students are not entitled to access training or receive supervision.

Writing Up Stage

7.31 Candidates who meet the criteria set out in the Research Degrees Regulations may enter the Writing Up stage in accordance with the timescales set out in Regulation 9.6, subject to approval by the Faculty Research Degrees Subcommittee.

Student Conduct

7.32 The University's Rules, Regulations and Procedures for Students set out the procedures governing student conduct and disciplinary matters.

8. Development of Research and Other Skills

8.1. In ensuring that research degrees candidates have the opportunity for personal development and to acquire research and other skills during their research degree programme, Anglia Ruskin University provides both a generic Anglia Ruskin University-level research training programme and subject specific training elements, at Faculty level. Anglia Ruskin University has introduced a revised research training programme which is benchmarked against the Vitae Researcher Development Framework (copy attached as Appendix 1) and is firmly grounded within a research culture. The generic Anglia Ruskin University three stage research training programme is compulsory for all students unless the Faculty Director of Research/Research Students has approved an exemption from any element of the programme.

8.2. The generic Anglia Ruskin University research training comprises:

- The Initial Research Skills Training Needs Analysis which is completed by all research degrees candidates, with their supervisor. This forms the basis for assessing students' skills on entry, against the Vitae Researcher Development Framework and assists in identifying where support is needed to acquire these skills. Progress on acquiring the skills identified is reviewed by the student and supervisor as part of annual monitoring. A copy of the questionnaire used for the initial Research Skills Training Needs Analysis can be found on the Research Development and Commercial Services website
- a three stage training programme which is normally compulsory for all research degrees candidates. As part of the Stage 1 Induction training, all students must pass the online Epigeum course Intellectual Property (IP) in the Research Context.
- an additional skills training programme to ensure that training is offered in all the generic skills outlined in the Vitae Researcher Development Framework
- the use of Turnitin as a formative tool

- 8.3. All research degree students must either attend Introduction to Research Ethics and Integrity (in Human Research) training offered by Research Development and Commercial Services or pass the online Epigeum course Ethics 1 – Good Research Practice.
- 8.4. All research degree students whose research proposal requires ethical approval (e.g. falls into the amber or red categories) are also required to pass the online Epigeum course Ethics 2 –Research with Human Subjects in the Health and Social Sciences, or an equivalent course approved by the Chair of the appropriate Faculty Research Ethics Panel.
- 8.5. Personal Development Planning, as a structured and supported process undertaken by individual candidates, provides the opportunity for candidates to reflect on their own learning, performance and achievements and to plan for their personal, educational and career development. The primary objective of Personal Development Planning is to improve the capacity of students to understand what and how they are learning and to review, plan and take responsibility for their own learning.
- 8.6. In addition to Anglia Ruskin University-level training programme, each Faculty also offers subject specific training. The Faculty based training programmes are integrated with the generic Anglia Ruskin University-level research training programme to provide students with a cohesive and comprehensive research training programme. Each Faculty publishes a calendar of research training sessions which are to be offered. The specific subject based training which each student undertakes is agreed by the supervisory team and the student, taking into account individual needs including those identified through the Research Skills Training Needs Analysis.
- 8.7. Candidates' progress in undertaking research training elements is reviewed as part of annual monitoring and monitored by the FRDSC.
- 8.8. Research training at both University and Faculty level, is reviewed annually to ensure that candidates' needs are being met. A key element of this review is the feedback received from students. Candidates are invited to complete feedback forms at the end of each training session on the three stage programme. In addition students are invited to comment on research training as part of annual monitoring. An annual report on the quality and effectiveness of the research training programme is considered by the Research Degrees Subcommittee.
- 8.9. Research degrees candidates have access to staff development activities provided by Anglia Ruskin University's Human Resources. The minimum compulsory training requirement for research degrees candidates who undertake teaching and assessment on Anglia Ruskin University modules is completion of the intensive 3 day programme offered via Human Resources. This programme meets the requirements of Level 1 of the National Framework for Lecturing in HE.

9. Quality Assurance Feedback Mechanisms

- 9.1 Current research degrees candidates are invited to complete the HEA Postgraduate Research Experience Survey every two years. The survey seeks feedback on a range of aspects including research training, supervision, resources and facilities. An analysis of the feedback is sent to Faculties for consideration as part of annual monitoring and an overview report is presented to the Research Degrees Subcommittee for discussion.
- 9.2 Recently completed research degree graduates are invited to provide feedback to the Assistant Director (Research Support), Research Development and Commercial Services. Research degree graduates are invited to comment on:
 - quality of supervision

- facilities
 - research training
 - administrative procedures
 - quality of documentation
 - research culture
 - opportunities for conference attendance
- 9.3 Feedback is also sought from the Viva Panel Chairs, internal and external examiners as part of the evaluation of the examination procedures. They are asked to complete a feedback form and a summary report is submitted to the Research Degrees Subcommittee, Research Committee and the Senate as part of the Annual Report on Research Degrees.
- 9.4 Feedback from research administrators is obtained through their attendance at meetings of the Faculty Research Degrees Subcommittee and through meetings with the Deputy Director, Academic Office and the Research Degrees Manager, Academic Office. In addition, the Deputy Director of the Academic Office meets with the secretaries to the Faculty Research Degrees Subcommittees on a regular basis to provide an opportunity for exchange of ideas and to ensure consistency of practice across Anglia Ruskin University.
- 9.5 Student representatives are appointed to the Research Committee, Research Degrees Subcommittee, Student Experience Committee and the Faculty Research Subcommittees of the Faculty Boards. They form a valuable group from whom feedback is sought on an ad-hoc basis.
- 9.6 Feedback from candidates is routinely sought following research training sessions to ensure that the training provided continues to be relevant and up-to-date.
- 9.7 The Directors of Research and Directors of Research Students Group meets informally twice each year and provides a forum for discussion and feedback on a wide range of issues related to research and research degrees.

10. Assessment

- 10.1. The assessment criteria for research degrees including the MPhil/PhD/MD (Res)/PhD by Published Work, Professional Masters and Postgraduate Diploma in Professional Research and Professional Doctorate is also published as part of the Research Degrees Regulations, and in the Notes of Guidance for Examiners. The Notes of Guidance explain the examination processes and are designed to assist examiners in their role.
- 10.2. The examination for a Professional Doctorate and Professional Masters has two stages: first the submission of written papers totalling 21,000 words which constitute Stage 1 of this award and which has to be passed before a candidate may progress to Stage 2; and secondly the submission and preliminary assessment of the thesis and its defence by oral examination or other approved alternative examination. Candidates for the award of the Postgraduate Diploma in Professional Research are required to successfully pass all the Stage 1 written papers in order to be eligible for the award.
- 10.3. The assessment of the written papers by internal tutors is recorded on appropriate forms and External Moderators will then moderate at least the greater of 2 or 50% of the marked Stage 1 papers for each candidate. All papers are assessed against the grade of pass or fail. Faculty Research Degrees Subcommittees consider the progress and achievement of students on Professional Doctorate, Professional Masters and Postgraduate Diploma in Professional Research Programmes. FRDSCs consider the recommendations from the team in respect of each candidate, together with the External Moderator's report in determining progression from Stage 1 to Stage 2 and consider

pleas for mitigation. Candidates for the awards of Professional Doctorate and Professional Masters may either attach their Stage 1 papers to their thesis as separate appendices or incorporate these materials in the body of their thesis. Examiners are expected to respect this choice which is available to candidates. Examination of the thesis for a Professional Doctorate and Professional Masters accords with the requirements of the Research Degrees Regulations (Section 13).

- 10.4. With the exception of the Postgraduate Diploma in Professional Research, Anglia Ruskin University's research degree assessment procedures require:
- the candidate to be examined on the basis of an appropriate body of work and an oral examination (viva voce)
 - as a minimum, two appropriately qualified examiners appointed for the purpose, at least one of whom is external to the institution. Where more than two examiners are appointed, the majority are generally from outside Anglia Ruskin University
 - that none of the candidate's supervisors are appointed as an examiner
 - that the internal and external examiners appointed are independent and have not had direct involvement in the student's work
 - the examining team to be experienced in research in the general area of the candidate's thesis, and have experience as a specialist in the topic(s) to be examined
 - the examining team has substantial experience of examining research degree candidates (i.e. normally have examined at least three research degree candidates). In an examination for a professional doctorate the examining team has experience of examining professional doctorate candidates
 - that normally an external examiner examines no more than three research degree candidates from Anglia Ruskin University over a period of three years
 - an independent, non-examining Chair to be appointed. Training for the independent Chair is provided to ensure consistency in the role across Anglia Ruskin University
 - the examiners to submit to the Research Degrees Unit, Academic Office separate, independent written reports ten working days before the date of the viva voce examination and a joint report after it
- 10.5. The criteria used in appointing examiners are published in the Research Degrees Regulations (section 12). An inexperienced examiner may be appointed alongside an experienced examiner and is provided with support in the form of Notes of Guidance for Examiners. A former member of staff is not normally approved as an external examiner until three years after the termination of their employment with Anglia Ruskin University.
- 10.6. Prior to the viva the examiners meet with the Chair of the Panel to discuss the preliminary reports, identify the strengths and weaknesses of the thesis and agree with the Chair the structure and process of the viva.
- 10.7. The candidate's supervisor is, with the candidate's agreement, invited to attend the viva as an observer. Other advisers to the student and the Chair of the Research Degrees Subcommittee may also attend, with the candidate's consent, again in the capacity of observers. All are required to withdraw prior to the deliberations of the examiners on the outcome of the examination.
- 10.8. Should examiners be unable to reach a consensus view on the outcome, the Faculty will be required to nominate an additional examiner to adjudicate.
- 10.9. The recommendations available to the examiners are set out in the Research Degrees Regulations (13.23) and in the Notes of Guidance for Examiners. Once the examiners have agreed their recommendation on the candidate's viva, the Chair invites the candidate and supervisor to return to discuss the outcome of the examination. The joint

report form (RD8) requires the examiners to record their recommendation and the timescale for resubmission or minor amendments. The Notes of Guidance for Examiners emphasise the importance in the case of a resubmission for the examiners' report to clearly include:

- the deficiencies in the thesis
- the remedial action required (including any additional research or experimental work)
- the agreed timescale to carry out this additional work

- 10.10 Examiners cannot require candidates to undertake any additional work which was not specified in their written guidance.
- 10.11 On receipt of the RD8 form, the Research Degrees Unit, Academic Office formally writes to the candidate confirming the examiners' recommendation, copying the letter to the candidate's supervisor(s), Faculty Director of Research/Research Students and the Secretary to the Faculty Research Degrees Subcommittee.
- 10.12 A supportive post viva review process has been introduced for all instances where a thesis fails or a resubmission is required. This involves the supervisory team meeting with a Panel to review supervisory practice.
- 10.13 Candidates who are required to resubmit their thesis must submit an action plan within one month of formal notification of the outcome of the oral examination setting out how deficiencies will be rectified. Submission of the action plans is monitored by the Research Degrees Examination Officer.
- 10.14 A summary report of the outcomes of the viva voce examinations is presented annually to the Research Degrees Subcommittee for consideration.
- 10.15 The Research Degrees Handbook describes the research degree process in more student friendly language than the formal regulations to ensure students have a clear understanding of the processes.
- 10.16 At Induction candidates are advised of the significance of declaring that the material being presented for examination is their own work. This is reinforced through the Research Degrees Regulations 11.7.
- 10.17 Candidates are prepared to undertake the viva through the research training programme and through 'mock' vivas.
- 10.18 Although candidates are not given copies of the examiners' reports, they are provided with extracts from the reports in the formal letter advising candidates of the outcome of the viva, subject to agreement with the examiners. Agreement of the Examiners to allow their comments to be given to the candidate is confirmed as part of the preliminary meeting with the Chair. The candidate's First Supervisor is provided with a copy of the examiners' preliminary reports immediately prior to commencement of the viva voce examination.

11. Academic Honesty

- 11.1 All candidates are expected to produce and submit a Turnitin Originality report on their research proposal, submission for Confirmation of Candidature, their thesis and resubmitted thesis where this is required. Candidates registered on Stage 1 of a Professional Doctorate degree are also required to produce and submit a Turnitin Originality report for each of their Stage 1 papers. Candidates are expected to discuss the originality report with their First Supervisor, or Programme Director for Stage 1 Professional Doctorate candidates, who is required to confirm that the Turnitin report

has been discussed with the candidate and that any issues arising from the report have been addressed.

- 11.2 Alleged academic offences, which threaten the integrity of Anglia Ruskin University's awards and the maintenance of academic standards, will be investigated thoroughly, in accordance with the processes set out in Section 5 of the Research Degrees Regulations.
- 11.3 Where an allegation of plagiarism has been proved, the Chair of Research Degrees Subcommittee, after consultation with Dean of the Faculty, is required to recommend to the Vice Chancellor that the candidate be expelled from Anglia Ruskin University.

12. Complaints

- 12.1 Anglia Ruskin University has a formal Student Complaints Procedure a copy of which is appended to the Research Degrees Regulations, and is published in the 'Rules, Regulations and Procedures for students' document published at:
http://web.anglia.ac.uk/anet/staff/sec_clerk/rul_regs.phtml
- 12.2 The Student Matters Committee, on behalf of the Board of Governors, and the Student Experience Committee of the Senate consider an annual report on all complaints received across Anglia Ruskin University.

13. Appeals

- 13.1 The appeals procedures set out in Section 6 of the Research Degrees Regulations provides the opportunity for a candidate registered for a research degree to appeal against a decision made at any of the three key assessment points:
 - assessment of the research proposal
 - Confirmation of Candidature for PhD / MD (Res) / Professional Doctorate
 - examination of the thesis

In addition, candidates may also appeal against decisions made relating to:

- the assessment of Stage 1 papers (Professional Doctorate/Masters candidates only)
 - the lack of establishment of a *prima facie* case for the award of PhD by Published Work
 - withdrawal of registration by the FRDSC due to lack of academic progress
- 13.2 The Research Degrees Regulations set out:
 - the grounds for an appeal and how to lodge an appeal
 - the procedure for considering an appeal
 - the constitution of an Appeals Panel
 - how records of an Appeal hearing are maintained
 - the mechanisms for communicating the results of an appeal hearing to interested parties

Vitae Researcher Development Framework

The Researcher Development Framework (RDF) was developed in response to a range of recommendations to create a UK development framework for postgraduate researchers and research staff in higher education institutions.

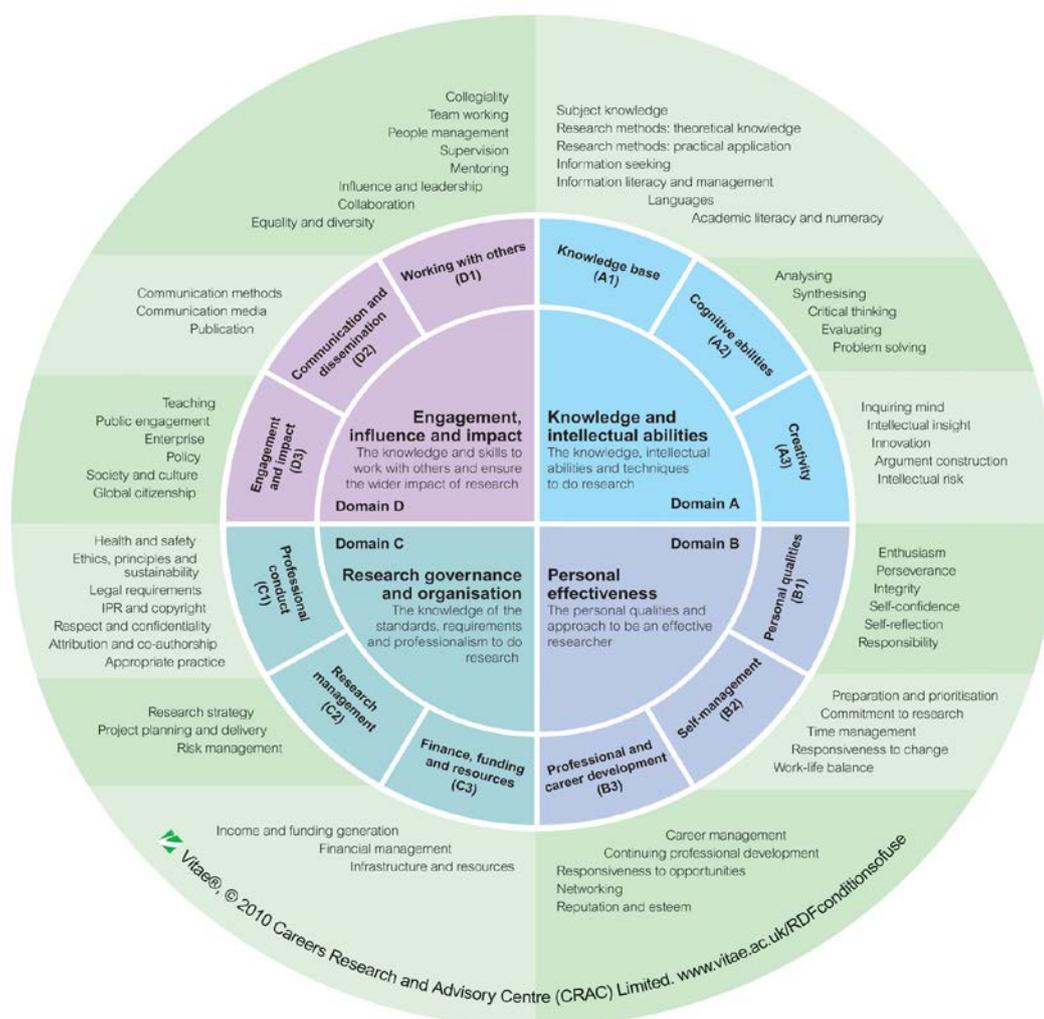
The RDF has been created from empirical data, collected through interviewing researchers, to identify the characteristics of excellent researchers expressed in the RDF as 'descriptors'. The descriptors are structured in four domains and twelve sub-domains. These descriptors encompass the knowledge, intellectual abilities, techniques and professional standards needed to undertake research, as well as the personal qualities, knowledge and skills required to work with others and ensure the wider impact of research.

Further information about the RDF may be found at <http://www.vitae.ac.uk/rdf>

For details of RDF information sessions, please visit the Research training page (<http://web.anglia.ac.uk/anet/rdcs/research/training.phtml>)

For the documents associated with the RDF please see <http://web.anglia.ac.uk/anet/rdcs/research/support.phtml>

Vitae Research Development Framework (taken from www.vitae.ac.uk/rdf)





Anglia Ruskin
University

Additional copies of the Research Degrees Regulations are available from:

Deputy Director of the Academic Office
Anglia Ruskin University
Bishop Hall Lane
Chelmsford
CM1 1SQ

Tel: 0845 196 4913

www.anglia.ac.uk/researchregs