



Anglia Ruskin
University

Research Degrees Regulations

Nineteenth Edition

September 2018



Anglia Ruskin
University

Research Degrees Regulations

Nineteenth Edition

September 2018

CONTENTS

Introduction	9
Summary of Revisions and Amendments in the Nineteenth Edition	11

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 Master's and Professional Doctorates

Pages 17 - 97

Section	Page
1. Principles	19
Preamble	19
Review of Regulations	19
Consistency and Comparability of Academic Standards	19
Award Titles	19
Qualification Descriptors	20
Valuing Diversity and Promoting Equality	20
Research Integrity	21
Research & Innovation Committee	21
Research Degrees Committee	21
PGR Student Progress Subcommittee	21
Research Ethics Subcommittee	21
Useful Publications for Candidates and Supervisors	22
Annual Faculty and Institutional Reports	22
The University's Right to Discontinue a Candidate for Failing to Make Satisfactory Progress	22
2. Admission of Students	23
General Entry Requirements for Postgraduate Research Courses	23
Entry Requirements for Master of Philosophy (MPhil) or Doctor of Philosophy (PhD) with Progression from MPhil	23
Applications for Direct Entry to PhD	23
Applications for Entry to a Postgraduate Diploma in Professional Research or Professional Master's	23
Applications for Entry to Professional Doctorate	24
Non Standard Entry Requirements	24
English Language Competence	24
Student Access to Resources	24
Students Working as Part of a Research Group	25
Franchised and Associate Colleges	25
Students Conducting Research Abroad	25
Previous Registration at Anglia Ruskin	26
Applicants Transferring their Registration from Another Institution to Anglia Ruskin University	26
Concurrent Study	27
Transferring Course	27
The Selection Process	27
Registration as a Student of Anglia Ruskin University	28

	Additional Requirements for Registration as an International Student (non-EEA) of Anglia Ruskin University	28
	The Researcher Development Programme and Other Training	29
	Intellectual Property	30
3.	Approval of Research Proposal	33
	Approval of Research Proposal	33
	Scrutiny of Research Proposal	33
	Research Ethics Approval	34
4.	Timescales for Completion	37
	Minimum and Maximum Periods of Registration	37
	Shortening the Period of Registration	37
	Extending the Period of Registration	38
	International Candidates Requesting Extensions	38
	Change of Mode of Study (full-time/part-time)	38
	Intermission of Study	39
	Holiday Entitlement	40
	Withdrawal of Registration/Discontinuation of Registration	40
5.	Annual Review	41
	Process	41
	Additional Review Provision for Candidates Receiving and Anglia Ruskin or External Studentship	43
6.	Supervision	45
	Responsibilities of the Supervisory Team	45
	The First Supervisor	45
	Internal Second or Third Supervisors	46
	External Supervisors	46
	Exclusions from Supervisory Teams	46
	Role of Adviser	46
	Maximum Number of Candidates per Supervisor	47
	Change in Supervision Arrangements	47
	Continuing Professional Development	47
7.	Upgrade of Registration from MPhil to PhD or Registration as a Candidate for PhD (Direct), MD (Res) or for a Professional Doctorate	49
	Purpose	49
	Timing of Application	49
	Submission Requirements	50
	Process	51
	Panel	51
	Exclusions from the Panel	51
	Presentation	51
	Recommendations Available to the Panel at First Attempt	52
	Institutional Approval	52
	Unsuccessful Applications for Upgrade/Confirmation of Registration	52
8.	Write Up status	55
	Period for Which Write Up Status May be Held	55
	Criteria to be met in Order to Enter Write Up Status	55
	Write Up Status Entry Points	57

9.	The Thesis	59
	Title of the Thesis	59
	Research Degrees Involving Creative Work	59
	Treatment of Scholarly Work	59
	Submission of the Thesis in a Language Other Than English	60
	The Abstract	60
	Acknowledgements	60
	Source Material – Referencing	60
	Presentation of Collaborative Research	60
	Inclusion of Published Work	61
	Copyright	61
	Maximum Word Limits	61
	Formal Requirements for the Thesis	62
	Final Version of the Thesis	64
	Confidentiality	64
10.	The Candidate’s Responsibilities in the Examination	67
	General	67
	Candidate’s Exclusion from the Examination Arrangements	67
	Eligibility for Examination	67
	Required Format for the Thesis at Examination	67
	Creative Work	67
	Declaration by Candidate	67
	Submission of Thesis	68
	Where the Thesis is Confidential	68
	The <i>Viva Voce</i> Examination	68
11.	The Examiners	69
	Appointment of the Examiners	69
	Size and Composition of the Examining Team	69
	External Examiners	69
	Internal Examiners	70
	Examiners’ Experience	70
	Exclusion from Examining Teams	71
	Approval of Appointment of Examiners	71
	Fees and Expenses for External Examiners	71
12.	First Examination	73
	General	73
	Disability	73
	Posthumous Awards	73
	Assessment Criteria for Postgraduate Research Degrees	73
	Preliminary Report on the Thesis	74
	Dispensing with the Oral Examination	75
	Outright Failure	75
	The Oral Examination	75
	The Role of the Chair	76
	Examiners’ Pre Meeting	76
	Examiners’ Action Following the Examination	76
	Recommendations Available to the Examiners	76
	Minor Amendments to the Thesis	77
	Other Amendments to the Thesis	77
	Feedback from the Examiners to the Candidate Post-Viva	77
	Failure of First Examination	78

	Where Recommendations are not Unanimous	78
	Conferment of the Award	78
	Research Degree Certificates	78
	Retracting an Anglia Ruskin Award after Conferment	79
13.	Re-Examination	81
	Requirements for Re-Examination	81
	Forms of Re-Examination	82
	Outcomes of Re-Examination	82
	Where the Examiners are Unable to Reach a Unanimous Recommendation	82
	Failure on Resubmission	82
14.	Academic Misconduct	83
	Introduction	83
	Definitions	83
	Stage 1: Investigation and Making an Allegation	85
	Stage 2: Panel Hearing	85
	Penalties	86
	Office of the Independent Adjudicator	87
15.	Academic Appeals	89
	Introduction	89
	Grounds for an Appeal	89
	Submitting an Appeal	90
	Initial Scrutiny	91
	Informal Resolution Stage at Faculty Level	92
	Appeals Panel Stage	92
	Procedure	93
	Conduct of a Formal Hearing	93
	Appeal Panel Decisions	94
	Outcomes Available to the Panel	94
	Office of the Independent Adjudicator	95
16.	Complaints	97

PART B:

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

Pages 99-107

1.	Introduction	101
2.	Principles	101
	The Award	101
	Definition of Published Work	101
	Research Collaboration	101
	Currency of Publications	101
	Declaration by Candidate	101
	Submission in English	102
	Period of Registration	102

3.	Entry Requirements	102
4.	Registration Stage	102
	Application to Establish a <i>Prima Facie</i> Case	102
	Determination of <i>Prima Facie</i> Case for the Award	103
	Researcher Development	103
5.	Appointment and Role of the Supervisor(s)	104
6.	Appointment of Examiners	104
	Number of Examiners	104
	Arrangements for the Appointment of Examiners	104
	Exclusion from Examining teams	104
7.	Examination	105
8.	Examination Arrangements	105
	Assessment Criteria	106
	Recommendations Available to the Examiners at First Examination	106
	Recommendations Available to the Examiners at Re-Examination	107
	Conferment of the Award	107

PART C (a):

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

*[for students recruited to Professional Doctorates operating under the Regulations
approved by Senate in June 2016]*

Pages 109-116

1.	Entry Requirements	111
2.	Non-Standard Entry Requirements	111
3.	English Language Competence	111
4.	Periods of Registration	112
	Shortening the Period of Registration	112
	Extending the Period of Registration	112
	Transferring Course	113
5.	Attendance at Workshops	113
6.	Nature of the Programme	113
7.	The Taught Stage	114
8.	Upgrade/Confirmation of Registration	114

9. The Research Thesis	114
Professional Master's (Level 7)	115
Professional Doctorate (Level 8)	116

PART C (b):

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

[for students recruited to Professional Doctorates operating under the Regulations approved by Senate prior to June 2016]

Pages 117-127

1. Entry Requirements	119
2. Non-Standard Entry Requirements	119
3. English Language Competence	120
4. Periods of Registration	120
Shortening the Period of Registration	120
Extending the Period of Registration	120
Transferring Course	121
5. Attendance at Workshops	121
6. Stage 1	121
Advisers	121
Stage 1 Papers	122
Resubmission of Stage 1 Papers	122
Criteria for Appointment as an External Moderator	122
Terms of Reference for External Moderators	122
7. Confirmation of Registration as a Candidate for Professional Doctorate	123
8. Assessment Requirements	124
Postgraduate Diploma in Professional Research	124
Professional Master's	124
Professional Doctorate	124
9. Stage 1 Papers in the Thesis	125
Professional Doctorate	125
Professional Master's	125
10. Assessment Criteria	125
Postgraduate Diploma in Professional Research (Level 7)	125
Professional Master's (Level 7)	126
Professional Doctorate (Level 8)	127

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

Pages 129-133

1.	Standard of the Award	131
2.	Entry Requirements	131
3.	Application	131
4.	Assessment	132
5.	Fees	133

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

Pages 135-139

1.	Entry Requirements	137
2.	Transfer of Study	137
3.	Timescales for Completion	137
4.	Supervision	137
5.	Progression	138
6.	Requirements of an MD (Res) Thesis	138
7.	The Examiners	139

Annexes

Pages 141-146

Annex 1	Useful Publications	141
Annex 2	Guidance for Thesis Abstract and Title Page	145

INTRODUCTION

Research Degrees Regulations - Nineteenth Edition (September 2018)

- (i) This Nineteenth Edition was approved by the Senate on 13th June 2018. Revisions incorporated into this version emerged for the following reasons:
- to address certain issues that have arisen during the academic year 2017/18;
 - as part of the annual update to improve clarity and to remove ambiguities and anomalies that have been brought to the attention of the Senate's Research Degrees Committee.
- (ii) The Nineteenth Edition is approved for implementation from **1st September 2018** (except where stated otherwise) and applies to all students (new and existing) registered at all locations (including delivery by Associate Colleges in the UK and overseas) for all courses leading to an Anglia Ruskin award.
- (iii) The Research Degrees Regulations are organised into six sections:
- 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 Master's and Professional Doctorates.
- Part B The Regulations for the Award of Doctor of Philosophy on the basis of Published Work
- Part C (a) Specific Regulations for the Postgraduate Diploma in Professional Research, Professional Master's and Professional Doctorates
[for students recruited to Professional Doctorates operating under the Regulations approved by the Senate in June 2016]
- Part C (b) Specific Regulations for the Postgraduate Diploma in Professional Research, Professional Master's and Professional Doctorates
[for students recruited to Professional Doctorates operating under the Regulations approved by the Senate prior to June 2016]
- Part D The Regulations for Higher Doctorates
- Part E Specific Regulations for the Doctor of Medicine by Research
- (iv) The Research Degrees Regulations can be accessed online at:
www.anglia.ac.uk/researchregs

Paul Baxter
Academic Registrar

September 2018

SUMMARY OF REVISIONS AND AMENDMENTS IN THE NINETEENTH EDITION

(since Eighteenth Edition, September 2017)

NB The numbers in brackets refer to the relevant Regulation(s).

Section A1 PRINCIPLES

- (a) A new regulation extends for the regulations the role of Faculty Director of Research Students (FDRS) to 'or equivalent'. (1.3)

Section A2 ADMISSION OF STUDENTS

- (a) It has been clarified that a PGR student transferring to ARU has to supply the required documentation before an offer letter can be issued. (2.24)
- (b) The authority to grant concurrent study rights has been passed to the FDRS. (2.26)
- (c) The procedure for changing PGR course is clarified and the authority to agree it has been passed to the FDRS. Also, a sentence has been inserted in the relevant regulation to clarify the situation for Tier 4 students transferring course. (2.27)
- (d) The need - where relevant - to consider any implications of the Human Tissue Act (2004) and the Mental Capacity Act (2005) for the proposed research project during the selection process has been included. (2.29)
- (e) A requirement to discuss any likely bench fees at a selection interview has been included. (2.31(e))
- (f) The requirement to pay bench fees, as well as tuition fees, as part of (re)registration has been made clear. (2.34 and 2.35)
- (g) The section dealing with Tier 4 students has been revised with copy provided by colleagues from Compliance and Risk, Secretary & Clerk's Office. (2.36)
- (h) The section dealing with intellectual property has been completely rewritten to ensure alignment with our new policy in this area. (2.47-2.50)

Section A3 APPROVAL OF RESEARCH PROPOSAL

- (a) It has been clarified that where a student changes their research to such an extent it requires re-approval of the Research Proposal it must not be assumed that all subsequent deadlines will be extended. (3.16)
- (b) The section covering research ethics approval has been revised to give greater clarity regarding the process to be followed if a candidate's research poses potential risk and/or involves travel outside the UK. (3.23-3.25)

Section A4 TIMESCALES FOR COMPLETION

- (a) It has been made clear that shortening the period of registration is only available when the candidate is ready to submit their thesis early. (4.3)
- (b) The authority to grant the initial 6 months extension of registration has been passed to the FDRS. (4.4)
- (c) It has been clarified that any further claim for extension to registration must be evidenced. (4.5)
- (d) It has been clarified that any request for an extension of registration must include an action plan demonstrating how the time requested will enable the candidate to complete their thesis. (4.6)
- (e) It has been clarified that the maximum registration extension period is 18 months. This was previously implicit. (4.7)
- (f) The authority to approve a change in mode of study (full-time/part-time) has been passed to the FDRS. (4.10)
- (g) A new regulation reminds studentship holders to check the terms and condition of their award before they request a change of mode of study. (4.11)

- (h) A new regulation stipulates that the minimum period of intermission is one month. (4.14)
- (i) The authority to approve the first 6 months of intermission has been passed to the FDRS. (4.16)
- (j) It has been clarified that where a Tier 4 visa holder requests maternity, paternity, shared parental or adoptive leave it must be documented by the Notification of Absence process. (4.25)
- (k) It has been clarified that Tier 4 visa holders must notify a faculty research administrator of their holiday leave plans. (4.30)
- (l) It has been clarified that the First Supervisor has primary responsibility for notifying the PGR Student Progress Subcommittee of concerns regarding student progress. (4.33)
- (m) It has been clarified that the PGR Student Progress Subcommittee can discontinue a student for failing to engage with the Upgrade/Confirmation of Registration process. (4.34(d))

Section A5 **ANNUAL REVIEW**

- (a) It has been clarified that the 'anniversary of registration' requirement for Annual Review relates to the submission of the required documents. (5.1)
- (b) The authority to appoint an additional and independent member to the panel has been passed to the FDRS. (5.17)
- (c) It has been clarified that it is only when both the Upgrade/Confirmation of Registration and the Annual Review are first attempt that the former can also serve as the latter. (5.18)
- (d) The regulation allowing special review panels for candidates receiving internal or external studentships has been revised to enhance clarity and given its own heading. (5.21)

Section A6 **SUPERVISION**

- (a) The section has been edited to bring all relevant regulations together under section headings.
- (b) It has been clarified that candidates can have no more than three supervisors. (6.4)
- (c) It has been clarified that the team competence of supervising through to award is for a 'substantial period'. (6.4(b))
- (d) It has been clarified that the publications demonstrating relevance must be peer-reviewed. (6.4(d))
- (e) It has been clarified that a third supervisor alone cannot be used to meet the team requirements for competence. (6.5)
- (f) It has been clarified that for an Emeritus Professor of Anglia Ruskin University to serve as a First Supervisor they must be demonstrably research active. (6.9(b))
- (g) It has been clarified that normally the First Supervisor will have supervised at least one student to conferment at the level of the award being supervised. (6.10)
- (h) The need for current and active engagement in relevant research by the First Supervisor has been emphasised. (6.11)
- (i) A new regulation allows Visiting Professors to be nominated as second or third supervisors. (6.15)
- (j) The responsibility for ensuring that individual supervisors are not overloaded with students has been passed to FDRS. (6.22)
- (k) The requirement for supervisors to attend CPD has been extended to staff at Associate Colleges. It has also been clarified that external supervisors are 'strongly encouraged' to attend our CPD sessions. (6.26)

Section A7 **UPGRADE OF REGISTRATION FROM MPhil TO PhD OR CONFIRMATION OF REGISTRATION AS A CANDIDATE FOR PhD (DIRECT), MD (Res) OR FOR A PROFESSIONAL DOCTORATE**

- (a) It has been clarified that if a student fails to attend, or fails to submit the required documentation for, first attempt they will be deemed to have failed and move to resubmission status. (7.6)

- (b) It has been clarified that the submission deadline for second attempt will be within two months of the date of the letter notifying the student of the outcome. (7.6)
- (c) It has been clarified that if a student fails to submit the required documentation or attend the panel meeting at second attempt they will be discontinued by the PGR Student Progress Subcommittee. (7.7)
- (d) The authority to determine if an external member of the review panel is required has been passed to the FDRS. (7.19)
- (e) Where a panel is unable to reach a joint recommendation the authority to appoint an additional independent member has been passed to the FDRS. (7.30)

Section A8 **WRITE UP STATUS**

- (a) It has been clarified that a student must explain in any request for an extension of the initial 12 month write up period why they were unable to submit the thesis in that period. (8.3)
- (b) The requirement in 'b' above and the requirement that it is viable for the thesis to be submitted within 12 months have been moved to the top of the conditions list to emphasise their importance. (8.8)
- (c) It has been clarified that the student must have submitted a 'substantial' amount of their thesis to the First Supervisor before write up status will be granted. (8.8(b))
- (d) A new regulation allowing for exceptional and limited access to specialist resources during write-up has been added. (8.9)

Section A9 **THE THESIS**

- (a) A new regulation stipulates that the award will not be made until the final copy of the thesis is submitted. (9.1)
- (b) A new regulation stipulates that any change to the thesis title required by the PGR Student Progress Subcommittee, and after the examiners have been appointed, will be communicated to the examiners. (9.3)
- (c) Thesis are now required to be printed on both sides of the page. (9.35(b))
- (d) A new regulation requires all chapters and appendices to start on a right-hand page. (9.35(c))
- (e) The regulation giving examples of grounds for confidentiality has been substantially revised. (9.43)
- (f) A new regulation advises candidates on issues they should consider before making an application for confidentiality. (9.44)

Section A10 **THE CANDIDATE'S RESPONSIBILITIES IN THE EXAMINATION**

- (a) The regulation detailing Mitigating Circumstances has been removed. This area is more appropriately dealt with through a SoRA.

Section A11 **THE EXAMINERS**

- (a) It has been clarified that a period of three years must pass before an ex-member of Anglia Ruskin staff can be appointed as an external examiner. (11.6)
- (b) A new regulation states that former doctoral candidates of Anglia Ruskin can be appointed as external examiners once three years has passed from the termination of their registration. (11.7)
- (c) A new regulation states that honorary and emeritus staff of Anglia Ruskin may not be appointed as external examiners. (11.8)
- (d) A new regulation states that external examiners must be able to demonstrate appropriate, and current, research activity. (11.10)
- (e) A new regulation states that external examiners will normally have experience of both supervising and examining PGR students and what the procedure is in circumstances where this is not the case. (11.11)

- (f) A new regulation stipulates conditions which would prevent appointment as an external examiner. (11.12)
- (g) The definition of internal examiner has been broadened to include Emeritus staff and visiting professors but only as long as they are research active. (11.13)

Section A12 **FIRST EXAMINATION**

- (a) It has been made clear that in order for the oral examination to go ahead the examiners' Preliminary Reports must be with the Doctoral School at least 10 working days before the scheduled date of the viva. (12.10)
- (b) A new regulation has been added outlining the procedure to be followed if examiners are unable to agree a joint recommendation on a thesis re-submitted after minor amendments have been made. (12.33)

Section A13 **RE-EXAMINATION**

- (a) The regulations outlining what examiners must do so a re-examination can go ahead have been clarified. (13.3 and 13.8)
- (b) The forms of re-examination have been clarified. (13.10)
- (c) It has been made clear that the thesis must be resubmitted within 6 months of re-examination. (13.12)

Section A14 **ACADEMIC MISCONDUCT**

- (a) It has been clarified that failure to comply with internal or external ethical approval processes, or breaching a principle of research integrity, are grounds for an investigation of academic misconduct. (14.7)

Section A15 **ACADEMIC APPEALS**

- (a) This section has been substantially revised to a) incorporate elements of the OIA's *Good Practice Framework: Handling Student Complaints and Appeals* and b) to simplify the procedure.
- (b) A PGR appeal now goes through three stages: (i) Initial Scrutiny, (ii) Informal Resolution at Faculty level and (iii) Appeal Panel.
- (c) It has been made clear that the Appeal Panel can only recommend an outcome, not decide one.
- (d) A new regulation allows former students to appeal within 20 working days of the date of the letter notifying them of their award. (15.2)
- (e) A new regulation allows the appellant to nominate a representative. (15.7)
- (f) It has been made clear that poor supervision should be dealt with under the complaints procedure and is not a ground for appeal. (15.15)
- (g) A new regulation outlines the situation for students on a Tier 4 visa. (15.17)

Section A16 **COMPLAINTS**

No changes.

Part B **Regulations for the Award of Anglia Ruskin University's Degree of Doctor of Philosophy on the Basis of Published Work**

- (a) The requirement that the application for admission goes to the secretary of RDSC has been removed. In practice they all went through the normal route.

- (b) The statement that the faculty appoint supervisors has been removed. In practice they all went through the normal route.
- (c) The statement that the supervisors appoint examiners has been removed. In practice they all went through the normal route.
- (d) The opportunity has been taken to introduce a minimum registration period of 6 months and to increase the maximum from 12 to 18 months. This will bring us into line with sector best practice. (2.8)
- (e) The authority to grant an extension to the registration period has been passed to the FDRS. (2.8)
- (f) The constitution of the *prima facie* panel has been revised. (4.2)
- (g) It has been made clear that what had been called the 'focal theme' is in fact the proposed thesis title. (7.1(a))
- (h) It has been made clear that applicants must comment on the impact of their submitted published work. (7.1(c))
- (i) The Assessment Criteria for the examiners has been revised to give greater clarity. (8.4)
- (j) The recommendations available to the examiners at examination and re-examination have been re-written to give greater clarity. (8.6 to 8.14)
- (k) A new outcome of resubmit after major amendments has been introduced at first examination. This will bring us into line with sector best practice. (8.8)

Part C (a) Specific Regulations for the Awards of: Postgraduate Diploma in Professional Research, Professional Master's and Professional Doctorate (post-June 2016)

- (a) Changes proposed in the main body of the regulations have been repeated here.
- (b) It has been made clear that the maximum credit that can be claimed through prior taught or experiential learning is two-thirds and this is for the taught component only. (6.9)

Part C (b) Specific Regulations for the Awards of: Postgraduate Diploma in Professional Research, Professional Master's and Professional Doctorate (pre-June 2016)

- (a) Changes proposed in the main body of the regulations have been repeated here.

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

- (a) The opportunity has been taken to clarify some of the processes in this section.

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

- (a) The section describing the requirements for the thesis have been revised to incorporate latest guidance regarding ethical approval. (6.2-6.4)

Dr Alan White
Director, Doctoral School

September 2018

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 Master's and Professional Doctorates

SECTION A1

PRINCIPLES

Preamble

- 1.1 Anglia Ruskin University's Research Degrees Regulations are the definitive statement over all other Anglia Ruskin University documents of the regulations for Anglia Ruskin postgraduate research degrees. 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.
- 1.2 All postgraduate research students and relevant university and Associate College staff are expected to be familiar with these regulations.
- 1.3 In these regulations, the use of the term 'Faculty Director of Research Students' should be taken to include 'or equivalent'.

Review of Regulations

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

Consistency and Comparability of Academic Standards

- 1.5 Anglia Ruskin University's Research Degrees Regulations are the principal means through which we ensure consistency in the academic standards achieved across our postgraduate research degree awards.
- 1.6 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 in part through the appointment, where relevant, of external panel members with appropriate knowledge and expertise, to serve on Approval Panels. It is also achieved through the appointment of independent, experienced external examiners to examine candidates.
- 1.7 For the taught modules of professional doctorate programmes independent, experienced external examiners are appointed. Approval Panel members are provided with copies of the QAA Qualification Descriptors for Master's and Doctoral degrees and the QAA Characteristics Statement: Doctoral Degree (September 2015). 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 and Chairs of Postgraduate Research Degrees Examinations.

Award Titles

- 1.8 Anglia Ruskin University shall award the degrees of Master of Philosophy (MPhil), Doctor of Philosophy (PhD), Doctor of Medicine by Research (MD (Res)), Professional Doctorates, Professional Master's (MProf) and Postgraduate Diploma in Professional Research (PGDipProf) to registered candidates who successfully complete the approved courses.

- 1.9 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. 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.
- 1.10 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.
- 1.11 A PhD 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.
- 1.12 A professional master's or doctorate shall be awarded to a candidate who has successfully passed the taught parts of the award and has presented and defended a thesis by oral examination to the satisfaction of the examiners. 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.
- 1.13 A postgraduate diploma in professional research shall be awarded to a candidate who has successfully passed 120 credits at Level 7 as specified at approval.

Qualification Descriptors

- 1.14 Anglia Ruskin University's master's and doctoral degrees are awarded to candidates who have demonstrated the outcomes specified in the QAA Framework for Higher Education Qualifications. Examiners are provided with copies of the QAA Descriptors for Master's 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

- 1.15 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.
- 1.16 Reasonable adjustments will be made for all relevant candidates. For further guidance please visit http://web.anglia.ac.uk/anet/student_services/study_support/summary-of-reasonable-adjustments.phtml.

Research Integrity

- 1.17 Anglia Ruskin University is compliant with the UUK 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 postgraduate research degrees qualifications covered by these Regulations.

Research & Innovation Committee

- 1.18 The Research & Innovation Committee is responsible, on behalf of Senate, for the development and implementation of Anglia Ruskin University's Research, Innovation and Innovation Strategy. The terms of reference and constitution of the Research & Innovation Committee and its Subcommittees can be found in the *Constitution of the Academic Committee Structure* document (www.anglia.ac.uk/constitution).

Research Degrees Committee

- 1.19 The Senate's Research Degrees Committee (RDC) is responsible, on behalf of the Research & Innovation 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.
- 1.20 The implementation and development of these regulations, and their associated procedures, are overseen by the RDC established within the academic committee structure of Anglia University's Senate. Some of the Committee's responsibilities and procedures are devolved to Postgraduate Research Student Progress Subcommittee (PGRSPSC). The terms of reference and constitution of the RDC and the PGRSPSC can be found in the *Constitution of the Academic Committee Structure* document (www.anglia.ac.uk/constitution).

PGR Student Progress Subcommittee

- 1.21 The PGRSPSC monitors the progress of all postgraduate research degrees students and receives and approves documents relating to various key stages in a student's progress.

Research Ethics Committee

- 1.22 The Research Ethics Committee considers policies and procedures relating to the ethics of research 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 the Research Ethics Committee to Faculty Research Ethics Panels. Each faculty also has School Research Ethics Panels, whose approval of ethics applications must be ratified by the relevant Faculty Research Ethics Panels. The terms of reference and constitution of Research Ethics Committee, Faculty Research Ethics Panels and School Research Ethics Panels can be found in the *Constitution of the Academic Committee Structure* document (www.anglia.ac.uk/constitution).

Useful Publications for candidates and supervisors

1.23 A list of useful publications is shown in **Annex 1**.

Annual Faculty and Institutional Reports

1.24 The RDC will receive an annual report from each faculty commenting on its postgraduate research activity. This report will include, inter alia, commentary on recruitment, retention, completion rates and times, and comments from Annual Review panels. The faculty reports will inform an annual institutional report which will also be tabled at the RDC.

The University's Right to Discontinue a Candidate for Failing to Make Satisfactory Academic Progress

1.25 The University may discontinue a candidate if he or she fails to comply with any research degree regulation which makes specific requirements of him or her, or fails to make satisfactory academic progress as determined at a point of assessment.

SECTION A2

ADMISSION OF STUDENTS

General Entry Requirements for Postgraduate Research Courses

2.1 An applicant may seek admission to study for any of the following awards:

- (a) Master of Philosophy
- (b) Doctor of Philosophy with progression from Master of Philosophy
- (c) Doctor of Philosophy (direct)
- (d) Doctor of Medicine by Research
- (e) Postgraduate Diploma in Professional Research
- (f) Professional Master's
- (g) Professional Doctorate

2.2 Entry is permitted in the months of September, January and April.

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

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 recent and is in a closely related discipline which is appropriate to the proposed research and that it included training in research and the execution of a research project.

2.5 Exceptionally, a faculty may permit direct entry to a PhD for a candidate who, although lacking a Master's degree, has a first or upper second class honours degree (or equivalent) in an appropriate discipline and has had appropriate research or professional experience at postgraduate level which has resulted in published work, written reports or other appropriate evidence of accomplishment.

2.6 The applicant must provide an academic justification for acceptance onto the direct entry PhD route with their application.

Applications for Entry to a Postgraduate Diploma in Professional Research or Professional Master's

2.7 An applicant seeking admission to the Postgraduate Diploma in Professional Research or the Professional Master's shall normally:

- (a) 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

- (b) have appropriate research and professional experience.

Applications for Entry to a Professional Doctorate

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

- (a) 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

- (b) have appropriate professional experience.

2.9 Any Professional Doctorate course wishing to propose that the minimum entry requirement must be a Master's degree, in an appropriate cognate area awarded by a UK University or an overseas Master's Degree of equivalent standing is required to submit a case to the RDC for consideration.

2.10 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 researcher development identified by the Programme Director, prior to registering.

Non-Standard Entry Requirements

2.11 Applicants holding qualifications other than those indicated above 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 University 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.

2.12 Requests for recognition of previously acquired learning are dealt with under our agreed procedures.

English Language Competence

2.13 Where English is not an applicant's first language, they must demonstrate evidence of English language ability by holding an IELTS score of 6.5 (or equivalent) and have achieved a minimum of English language competence of at least IELTS 5.5 (or equivalent) across all four disciplines – writing, reading, speaking and listening.

2.14 These minimum requirements may be supplemented by additional requirements as determined by individual Faculties. This may include a requirement to complete Anglia Ruskin University's Postgraduate English Support Programme.

Student Access to Resources

2.15 Students must be able to access resources for their research, through the use of, for example, broadband to access our University Library, our learning management system and online researcher development courses.

Students Working as Part of a Research Group

- 2.16 An applicant whose work forms part of a larger group project may register for a postgraduate 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.
- 2.17 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 fulfilment of the objectives and requirements of the candidate's postgraduate research degree.

Franchised and Associate Colleges

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

Students Conducting Research Abroad

- 2.19 A faculty may approve an admission request from a candidate proposing to conduct research outside the UK, provided that:
- (a) the arrangements proposed enable regular face-to-face contact by the appointment of a local supervisor or adviser. Supervisors or advisers based abroad shall have a mentor at Anglia Ruskin who shall be either the First Supervisor or a colleague nominated by the First Supervisor who has supervised at least one postgraduate research student to successful completion at the level of the candidate. Where the appointment of a local supervisor or adviser is not possible provision must be put in place to provide regular supervisory contact through Skype or some other form of video contact. The form and frequency of contact must be specified at the point the supervisory team is approved. All new supervisors located overseas must attend either a) the appropriate staff development activity on-campus at Anglia Ruskin or b) an equivalent staff development activity for supervisors located overseas delivered by the Faculties and agreed by the Doctoral School. All supervisors must attend a relevant CPD session at least once every two years;

AND

- (b) approval has been given for delivery of researcher development at individual Associate Colleges, all candidates conducting research abroad are required to attend an annual week-long generic researcher development programme at Anglia Ruskin on at least two occasions during their registration (see also Regulations 2.37-2.46 below on *the Researcher Development Programme*);

AND

- (c) there is satisfactory evidence as to the facilities and resources available to support the research both at Anglia Ruskin University and abroad;

Other issues that will need to be taken into consideration through the appropriate procedures include ethical approval, a health and safety audit, insurance arrangements and if the research contravenes any aspect of the laws in the host country (this is not an exhaustive list).

Previous Registration at Anglia Ruskin

- 2.20 Where an applicant has previously registered as a candidate for a postgraduate research degree at Anglia Ruskin but failed to gain an award, the relevant Faculty may take account of all or part of the previous registration time in their offer of a place. This would only be appropriate where the proposed new research is sufficiently similar to that for which the applicant was previously registered.
- 2.21 Candidates who have been discontinued due to academic failure are permitted to apply for re-admission to a postgraduate research degree provided that:
- (a) at least six months has lapsed between the date of discontinuation and the date of application for re-admission;
 - (b) the candidate is able:
 - (i) if appropriate, to provide clear evidence of a change in personal circumstances since the date of discontinuation;
 - (ii) to demonstrate a positive commitment to resume study at postgraduate research degree level;
 - (iii) to demonstrate an enhanced knowledge-base and/or relevant experience (for example, employment in a relevant area in the period since the date of discontinuation);
 - (c) the candidate has been formally interviewed by at least two members of academic staff whose decision to re-admit the candidate is unanimous.
- 2.22 Candidates who voluntarily withdraw may apply for re-admission provided that:
- (a) the candidate is able:
 - (i) if appropriate, to provide clear evidence of a change in personal circumstances since the date of withdrawal;
 - (ii) to demonstrate a positive commitment to resume study at postgraduate research level;
 - (iii) to demonstrate an enhanced knowledge-base and/or relevant experience (for example, based on employment in a relevant area in the period since the date of withdrawal);
 - (b) 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 Institution to Anglia Ruskin University

- 2.23 Where an applicant has previously undertaken research as a registered candidate for a postgraduate research degree at another institution 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.
- 2.24 An applicant transferring their registration from another institution to Anglia Ruskin University shall be required to provide the following information prior to an offer letter being issued:
- (a) a letter of agreement to the transfer 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 current progress report from the candidate's First Supervisor (or equivalent) which should include any reports from Annual Review (or equivalent) and Upgrade/Transfer of Registration (or equivalent);

- (d) the date, and mode, of original registration and the period of registration time remaining under the regulations of their current institution (including detail of any intermissions and extension of registration time);
- (e) the title of the research project and the names and email-addresses of current supervisors;
- (f) an indication of the level of resources required to support the research project;
- (g) details of all researcher development activities attended.

2.25 Any application lacking the information set out in Regulation 2.24 above will be rejected.

Concurrent Study

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

Transferring Course

2.27 A candidate who wishes to transfer their registration from one postgraduate research course to another must seek the written support of their First Supervisor, Professional Doctorate Programme Director or other relevant Faculty staff, before applying to the Faculty Director of Research Students for approval. The relevant form can be obtained from the appropriate faculty administrator. If a student is on a Tier 4 visa, they must complete the Tier 4 Course Change request form and submit it to the Compliance Team (in the Secretary & Clerk's Office) prior to the change being processed.

The Selection Process

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

2.29 Prior to any interview, the Panel should consult their Faculty Director of Research for guidance regarding the possibility that the proposed research falls under the Medical Devices Regulations (2002) as amended, Medicines for Human Use (Clinical Trials) Regulations (2004) as amended, Human Tissue Act (2014)¹, Mental Capacity Act (2015)² or any other relevant legislation.

2.30 The Faculty Director of Research must obtain specialised or legal advice as required.

¹ The Human Tissue Act (2004) covers England, Wales and Northern Ireland. There is a Human Tissue (Scotland) Act (2006)

² The Mental Capacity Act (2005) covers England and Wales. In Scotland, the inclusion of adults lacking capacity in research is governed by the provisions of Section 51 of the Adults with Incapacity (Scotland) Act (2000). In Northern Ireland, it is currently governed by common law.

- 2.31 The process will involve the judgement of at least two members of University academic staff who have been suitably trained or briefed. Normally this would be the faculty Director of Research Students and a member of the indicative supervisory team. An interview must occur before an offer of a place is made. At the interview the research proposal and any ethical considerations should be discussed with the applicant as should the likely total cost of the course including any bench fees. 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 research in the area of the proposed research project;
 - (e) the ability of the applicant to pay ongoing annual tuition fees and any relevant bench fees for a specified period of time (see Regulation 4.1 below for details of the minimum and maximum periods of registration).

Registration as a Student of Anglia Ruskin University

- 2.32 A formal offer letter is sent to successful applicants offering them a place on a postgraduate research degree at Anglia Ruskin University. On receipt of confirmation of acceptance of the offer, students are sent an induction pack which includes a registration form.
- 2.33 All applicants who have accepted the offer of a place 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 to the First Supervisor allocated provisionally to assist the candidate in developing their research proposal. The name of the proposed First Supervisor, or Programme Director for Professional Doctorate programmes, are included in the offer letter sent to the prospective student. Registration as a student of Anglia Ruskin University occurs in the months indicated in Regulation 2.2 above.
- 2.34 All returning students are required to re-register in each year of their studies and pay the appropriate tuition fee and any relevant bench fees, in return for access to Anglia Ruskin University's facilities and their supervisory team.
- 2.35 Students who have not paid their tuition fees, and any relevant bench fees, are 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

- 2.36 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 documentation to the University iCentre on arrival so that a copy of both documents can be made and stored on our student 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 is monitored throughout the period of registration. If a student does not meet the attendance requirements or is suspended and excluded from Anglia Ruskin University for any reason, our University is required to inform the immigration authorities;
- Student visa holders are allowed to study on a full-time basis only. Part-time study is not permitted;
- 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

The Researcher Development Programme and Other Training

- 2.37 Candidates are required by the University to attend all of the compulsory sessions of the Researcher Development Programme. These are designed to support students during their programme of research and are part of the broader researcher development activity offered by the Doctoral School.
- 2.38 Stage 1 of the compulsory sessions is linked to the Research Proposal application. Stages 2a and 2b are linked to the application for Upgrade/Confirmation of Registration. Stage 3 is designed to help candidates prepare for their viva.
- 2.39 As part of the Stage 1 training, all students must pass the online module *Intellectual Property in the Research Context*.
- 2.40 All candidates must complete a Research Skills Training Needs Analysis to establish their skills development needs and create a personal development plan. This must be updated and submitted each year as part of the process of Annual Review.
- 2.41 Each Faculty offers additional researcher development events, some of which may be compulsory.
- 2.42 All postgraduate research degree candidates must attend either a) *Introduction to Research Ethics and Integrity (in Human Research)* development offered by the Doctoral School or b) pass the online module *Ethics 1 - Good Research Practice*. A copy of the relevant training certificate must be provided to the Researcher Development Programme Administrator in the Doctoral School.

- 2.43 All postgraduate research degree candidates whose research falls under risk categories yellow, red or purple (as determined by completing the Stage 1 Research Ethics Application Form), are also required to pass the online module *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. A copy of the relevant training certificate must be provided to the Researcher Development Programme Administrator in the Doctoral School.
- 2.44 Postgraduate 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 ICH-Good Clinical Practice training record. ICH-Good Clinical Practice training needs to be renewed every two years. A copy of the training record must be provided to the Researcher Development Programme Administrator in the Doctoral School.
- 2.45 All candidates who are engaged in undertaking teaching on any Anglia Ruskin modules and who have not received approved training for that teaching must attend the *Learning and Teaching in Practice* programme.
- 2.46 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/or to broaden their disciplinary knowledge.

Intellectual Property (see also Regulations 2.39 above)

- 2.47 Anglia Ruskin University has an *Intellectual Property Policy* and all postgraduate research students and their supervisors are advised to consult it at a very early stage in the research project. The *Policy*, and detailed guidance concerning intellectual property can be found at: <https://web.anglia.ac.uk/anet/rido/postaward/commercialisation/commercialisation.p.html>.
- 2.48 In some circumstances a postgraduate research student will be required to sign an undertaking that they will enter into a confidentiality agreement and assign their Intellectual Property rights to Anglia Ruskin. These circumstances are:
- (a) If a student is sponsored by Anglia Ruskin. Sponsored is defined as if a student has their full fees paid by Anglia Ruskin for at least one full academic year of their studies. In such a case Intellectual Property which arises from the student's research will be owned by Anglia Ruskin.
 - (b) If a student is working on a project which is funded by a third party and governed by an agreement which controls ownership of the Intellectual Property arising from that project. Students will be required to sign an agreement with ARU setting out the rights and responsibilities of both parties at the commencement of the project.
 - (c) If the student is working on a project which derives from or builds upon Intellectual Property which is owned by Anglia Ruskin, or involves substantial collaboration with our staff. The student will be required to sign an agreement to assign their rights to ARU before commencing the work in question.
- For the avoidance of doubt, when a member of Anglia Ruskin staff is a postgraduate research student at Anglia Ruskin and receives a partial or full fee waiver, they will be treated as in Regulation 2.48(a) above.
- 2.49 In all the circumstances listed in Regulation 2.48 students who work on or invent any patentable inventions must comply with confidentiality obligations until Anglia Ruskin gives permission not so to do.

- 2.50 Where a postgraduate research student has signed an agreement transferring their rights to Anglia Ruskin, they will be treated as a member of Anglia Ruskin staff for the purpose of income sharing should the invention be successfully commercialised.

SECTION A3

APPROVAL OF RESEARCH PROPOSAL

Approval of Research Proposal

- 3.1 All candidates for the award of MPhil, PhD and MD (Res) are required to seek approval of their Research Proposal by the following deadlines:

Month of Registration	Research Proposal Deadline	
	<i>Full-time candidates</i>	<i>Part-time candidates</i>
September	28 October	28 November
January	28 February	28 March
April	28 May	28 June
June (no longer in use)	28 July	28 August

- 3.2 All candidates for the award of a Professional Master's 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.
- 3.3 Any candidate missing the deadlines stipulated in Regulation 3.1 will be treated as a resubmission and the procedure in Regulation 3.12 below will apply.
- 3.4 All candidates are required to submit their Research Proposal to Turnitin and discuss the originality report with their First Supervisor prior to application.
- 3.5 The candidate's supervisors are formally appointed when the Research Proposal is approved.
- 3.6 The Research Proposal must not exceed 1,000 words. Over-length proposals will be returned to the applicant for editing and, when resubmitted, will count as a second attempt.

Scrutiny of Research Proposal

- 3.7 Appropriate academic judgement is brought to bear on the viability of each candidate's Research Proposal as soon as the candidate and their First Supervisor (or programme director for Professional Doctorate candidates) are ready, but in accordance with the timescales indicated above. The Research Proposal will be reviewed by a minimum of two suitably experienced academics who have attended the relevant staff development provided by the Doctoral School. The reviewers will be independent of the student and supervisors. A candidate for a postgraduate research degree, except those submitting for a PhD by Published Work, shall be ineligible to act as a reviewer. The consideration of the Research Proposal will take into account:
- the viability of the proposed research within the permitted timescale;
 - the content and clarity of the Research Proposal;
 - the suitability and experience of the proposed supervisory team (as defined in these regulations);
 - the candidate's understanding of the ethical implications of their research;

- (e) if our University or Associate College is able to provide appropriate research facilities;
 - (f) the identification of any required researcher development activity.
- 3.8 Approval of the Research Proposal may be subject to attendance at Stage 1 of the Researcher Development Programme.
- 3.9 The reviewers will produce a joint report for the PGRSPSC within 10 working days of agreeing a recommendation.
- 3.10 The reviewers will make one of the following recommendations to the PGRSPSC:
- (a) the research proposal is approved;
 - (b) the research proposal is not approved.
- 3.11 The candidate will be informed of the recommendation of the reviewers and supplied with a copy of the joint report but the final decision regarding approval rests with the PGRSPSC.
- 3.12 If a Research Proposal is not approved on first submission the student is allowed one opportunity to revise and resubmit it. The resubmission must occur within two months of the date of the letter notifying the student of the decision. The student will be provided with a statement of the deficiencies of the Research Proposal (the reviewer's joint report).
- 3.13 If the Research Proposal is not approved at second attempt the PGRSPSC will discontinue the student.
- 3.14 If a student fails to submit their research proposal by the required deadline this will be reported to the PGRSPSC. If this failure to submit the proposal is at first submission the student will be treated as 'not approved' and will be required to resubmit. If the failure to submit the proposal is at resubmission the PGRSPSC will discontinue the student.
- 3.15 Where the reviewers are unable to reach a joint recommendation the Research Proposal itself, and the reviewer's reports, will be considered by the PGRSPSC which will reach one of the conclusions stated in Regulation 3.10 above.
- 3.16 A candidate who has had their Research Proposal approved and subsequently needs to change the focus and/or topic of their research must gain the support of their First Supervisor before applying to the PGRSPSC for re-approval using the procedure outlined in this Section. Subsequent regulatory deadlines will not be extended and, in such situations, it may be more appropriate for the candidate to withdraw and reapply for admittance.

Research Ethics Approval

- 3.17 Candidates need to consider ethical issues at an early stage and should consult the research ethics website (www.anglia.ac.uk/researchethics) for further advice.
- 3.18 A Research Proposal Ethics Checklist must be submitted with the Research Proposal. Submission of the checklist does not constitute applying for ethical approval, which is a separate process.
- 3.19 A Stage 1 Research Ethics Application Form must be completed by all researchers, including those carrying out desk-based or secondary research³. This will determine the risk category of the research.

³ There is a separate version of the Stage 1 form for research involving Animals and Habitats.

- 3.20 Where completion of the Stage 1 form indicates that institutional and/or external ethical (and in some cases governance) approval is required, candidates should refer to the Research Ethics Policy and the relevant sections of the *Code of Practice for Applying for Ethical Approval at Anglia Ruskin University*. If the Stage 1 form indicates that institutional ethics approval is not required, the Stage 1 form must be submitted to the relevant School Research Ethics Panel to demonstrate compliance with institutional ethics procedures.
- 3.21 Candidates may need to apply for ethical approval on more than one occasion to cover different components of their research programme.
- 3.22 Approval from other entities (e.g. NHS, Ministry of Defence) is in some cases regarded as equivalent to our own. For further information please refer to the *Stage 1 Research Ethics Application Form* and *Code of Practice for Applying for Ethical Approval*, available from the Anglia Ruskin Research Ethics webpage.
- 3.23 Candidates must determine if their research is of such a nature to require additional insurance (please refer to the *Code of Practice for Applying for Ethical Approval at Anglia Ruskin University*).
- 3.24 Candidates will also be required to complete a Risk Assessment (Health and Safety) if their research presents significant potential risks or involves travel outside the UK. If travelling overseas, it is strongly advised that candidates obtain their travel insurance cover via Anglia Ruskin (as opposed to making their own arrangements).
- 3.25 Further checks or approvals may also be required and it is the responsibility of the researcher to obtain these. Further information regarding these can be found on the Research Ethics website and in the *Code of Practice for Applying for Ethical Approval at Anglia Ruskin University*.

SECTION A4

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>	<u>Maximum</u>
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>	30 months	60 months
<i>part-time</i>	42 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</i> (following full-time taught stage)	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 Master's		
<i>part-time</i>	30 months	48 months
<i>part-time</i> (following full-time taught stage)	26 months	36 months

- 4.2 A full-time candidate should be ready to submit their thesis for MPhil after 2 years of registration and for PhD after 3.5 years. Part-time candidates should be ready to submit their thesis for MPhil after 3 years of registration and for PhD after 5 years. A professional doctorate candidate should be ready to submit their thesis after 5 years of registration. A Professional Master's candidate should be ready to submit their thesis after 3.5 years of registration. A full-time MD (Res) candidate should be ready to submit their thesis after 2 years of registration.

Shortening the Period of Registration

- 4.3 Where the candidate is ready to submit their thesis before they have reached the minimum registration point, they can apply for a shorter minimum period of registration. An application for such shortening should be submitted to the PGRSPSC before the application for approval of examination arrangements.

Extending the Period of Registration

- 4.4 A candidate is expected to submit their thesis before the expiry of the maximum period of registration. The Faculty Director of Research Students may extend a candidate's period of registration where evidence is submitted to support the request, for not more than 6 months.
- 4.5 Only in evidenced exceptional and unforeseen circumstances will a further and final period of up to 12 months be permitted. Application for this final period should be made to the PGRSPSC.
- 4.6 In all cases an application must be accompanied by an action plan demonstrating how the extension will enable the successful completion of the thesis. This action plan must be agreed with the First Supervisor. In making a decision the Faculty Director of Research Students or PGRSPSC will take into account the progress made by the candidate and any previous requests for intermission or extensions.
- 4.7 The maximum registration extension period is 18 months.

International Candidates Requesting Extensions

- 4.8 If an international 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.
- 4.9 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 (full-time/part-time)

- 4.10 A candidate may apply to the Faculty Director of Research Students to change mode of study.
- 4.11 A candidate holding a studentship (internal or external) must check the terms and conditions of the award before they request a change of mode of study.
- 4.12 Where a candidate changes mode of study 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 or part-time candidate. Before making a request to change mode of study, students and their supervisors should fully consider the implications.
- 4.13 When a candidate changes mode of study their remaining registration time will be arrived at by applying the following procedure:
- (a) Take the maximum period of registration in the original mode;
 - (b) Subtract from it the actual period of registration in the original mode to produce the original remaining period of registration;
 - (c) Then take the original remaining period of registration and divide it by the maximum period of registration on the original mode multiplied by maximum period of registration on the new mode;
 - (d) This produces the new remaining period of registration.

Note: Any periods of intermission or extension should be taken into account and all figures should be expressed in months.

Intermission of Study

- 4.14 The minimum period of intermission is one month.
- 4.15 Any period of intermission shall be subject to a candidate's immigration status.
- 4.16 Where the candidate is prevented, by ill-health or other cause, from making progress with the research, the candidate may make a request to the Faculty Director of Research Students to intermit their studies for an initial period of up to a maximum of six months, excluding requests for maternity, paternity, shared parental or adoptive leave. This initial period of up to six months will be reported to the PGRSPSC.
- 4.17 Any exceptional further requests will be considered by the PGRSPSC. All applications will be considered on an individual basis. It should be noted that approval will not automatically be granted.
- 4.18 Candidates may intermit for no longer than 18 months in total.
- 4.19 Candidates who wish to intermit from their studies beyond the initial 6 months will be required to provide evidence to support the request.
- 4.20 Applications for further intermission are normally only considered if they are submitted before the intended start of the period of intermission and not retrospectively.
- 4.21 Where in exceptional cases a request for retrospective intermission is made to the PGRSPSC, the application must explain why the candidate was prevented from applying for intermission before the requested start date. The approval of applications for retrospective intermission cannot be guaranteed and if the PGRSPSC is unable to approve the application, the candidate will be required to enrol and pay the appropriate fees for that period of time.
- 4.22 If a candidate applies for intermission due to illness lasting for a period longer than four weeks a medical certificate must be supplied with the application. This medical certificate will not be tabled at the PGRSPSC but must be provided.
- 4.23 During the period of intermission a student's registration on their research degree is suspended, and they will not receive supervision or have access to university resources.
- 4.24 As a consequence of intermission the end of the maximum registration period is delayed by a period equal to the duration of the intermission.
- 4.25 Any candidate eligible for maternity, paternity, shared parental or adoptive leave should discuss their situation with their First Supervisor well in advance of the leave period. Such leave does not count as intermission time but the provisions of Regulation 4.23 above will apply. For Tier 4 visa holders, any requests for maternity, paternity, shared parental or adoptive leave should be documented by the Notification of Absence processes and must be completed with agreed timescales in order to remain compliant with Tier 4 sponsorship duties.
- 4.26 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.
- 4.27 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.

- 4.28 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.
- 4.29 On their return from intermission candidates are subject to the then current edition of the Research Degrees Regulations.

Holiday Entitlement

- 4.30 Students may take up to 35 working days holiday in each year (pro rata for parts of a year) inclusive of normal public holidays. The timing of their holidays must be agreed with their First Supervisor. Student visa holders must ensure the faculty research administrator is informed of any leave so that it can be monitored in line with Anglia Ruskin's Tier 4 sponsorship duties.

Withdrawal of Registration/Discontinuation of Registration

- 4.31 Where a candidate terminates their research the withdrawal of registration shall be notified to the PGRSPSC by the Faculty.
- 4.32 Where a candidate fails to re-register, the Faculty will discontinue them.
- 4.33 The Faculty is responsible for monitoring students' progress. This will normally be the responsibility of the First Supervisor. Where concern is expressed by the Faculty about a candidate's progress, or lack of contact, the PGRSPSC will consider the case. If necessary, the Faculty Director of Research Students will subsequently 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 discontinued. The letter will specify in detail what the candidate must do and give a deadline by which the work must be completed. If satisfactory progress is not made by the stipulated deadline the Faculty will notify the PGRSPSC will, at its next meeting, discontinue the candidate. Following the PGRSPSC meeting the Secretary will write to the candidate informing them of the decision.
- 4.34 In addition, the PGRSPSC can discontinue a candidate for failing to make academic progress. Examples of failing to make academic progress include (the list is not exhaustive):
- (a) if the candidate's period of registration has expired, and an application for extension of registration has not been submitted and approved;
 - (b) the annual review panel has recommended discontinuation;
 - (c) if the candidate has not submitted their thesis on completion of their Write Up Status;
 - (d) if, on resubmission, the candidate has failed to submit a satisfactory, or any, Research Proposal, Annual Review or Upgrade/Confirmation of Registration;
 - (e) if the candidate on a Professional Doctorate programme has exhausted all available attempts to pass the taught modules of the programme;
 - (f) if the candidate has failed to submit a revised thesis for examination by the stated deadline and has not requested and had approved an extension.
- 4.35 The PGRSPSC may discontinue a candidate for any other valid reason.

SECTION A5

ANNUAL REVIEW

Process

- 5.1 Postgraduate research degrees candidates are required to submit their documents for Annual Review by the anniversary of their registration. The exceptions are those who have formally submitted their thesis to the Doctoral School and those registered for PhD by Published Work, for whom alternative monitoring arrangements exist.
- 5.2 The Annual Review meeting should normally be held face-to-face. However, where this is not possible it may take place using a video conference link. Permission for Annual Review to take place via video conference must be obtained from the Faculty Director of Research Students using the appropriate form.
- 5.3 The Annual Review meeting is conducted by a panel of at least two suitably qualified academics who are independent of the student and the supervisors and who have received appropriate staff development.
- 5.4 A candidate for a postgraduate research degree, except those submitting for a PhD by Published Work, shall be ineligible to act as a panel member.
- 5.5 The candidate and at least one member of the supervisory team (preferably the First Supervisor) must attend.
- 5.6 For MD (Res) students one of the supervisors attending the review meeting must be the medical practitioner.
- 5.7 Particular attention is given to a student's progress during the Annual Review at the end of their first year of registration.
- 5.8 The purpose of the Annual Review meeting is to decide if:
 - (a) the student is actively engaged on the research programme and is making good progress;
 - (b) the student and supervisors are maintaining regular and frequent contact;
 - (c) the student is likely to achieve the academic standards of the degree for which registered;
 - (d) the student is likely to gain their award within the normal permissible time scales;
 - (e) all issues raised by any previous Annual Review meeting have been successfully addressed
- 5.9 The documents required for Annual Review are:
 - (a) A submission by the candidate looking back over the previous year which will take the form of a self-evaluation of work undertaken, training undertaken, development of researcher skills, progress towards meeting research goals and the success of the supervisory arrangements;
 - (b) At least one piece of written work by the candidate derived from their current registered research (e.g. a draft chapter of the thesis). This work to have been written during the period under review. The written work must be submitted to Turnitin and the originality report discussed with the First Supervisor prior to submission;

- (c) The supervisory team will, having considered the candidate's submission, address the same matters in its own written submission which will include a confirmation that the required minimum number of supervision sessions has taken place and records of the meetings;
 - (d) A schedule for the coming year which will include a timetable for the completion of the thesis. This must be agreed by the candidate and the supervisory team. If appropriate it must include the timing for upgrade/confirmation of registration.
- 5.10 The panel will ensure that the student is offered time to meet with them without the supervisors being present.
- 5.11 The possible recommendations from Annual Review are that:
- (a) the student proceeds to the next year of their programme;
 - (b) the student resubmits their documentation for a reconvened Annual Review meeting (the documentation for the reconvened meeting is to be submitted within two months of the date of the letter notifying them of this decision);
 - (c) the student should be discontinued for demonstrating lack of progress (this recommendation can only be made after a reconvened Annual Review meeting).
- 5.12 The candidate will be informed of the recommendation of the reviewers and supplied with all reports but the final decision rests with the PGRSPSC.
- 5.13 Within 10 working days of a recommendation being reached the reviewers will produce a joint report for PGRSPSC concerning the Annual Review meeting (but see Regulation 5.17 below).
- 5.14 If a student is required to resubmit for Annual Review the reviewers will provide a statement of the deficiencies to be addressed (the joint report).
- 5.15 If a student fails to attend their Annual Review meeting or submit the required documents, they will be treated as a resubmission and the procedure outlined in Regulation 5.11(b) above will apply.
- 5.16 If a student fails to attend their reconvened Annual Review meeting or submit the required documents the PGRSPSC will be informed and will discontinue the student.
- 5.17 Where the reviewers are unable to reach a joint recommendation the Faculty Director of Research Students will arrange for an additional independent panel member to be appointed. The additional panel member will review the submitted documentation and meet with the student and supervisor(s) to discuss progress. They will then meet with the members of the original panel to produce a joint report for PGRSPSC. Any dissenting member of the panel may produce a minority report. All reports will be tabled at the PGRSPSC with a recommendation that the majority report be approved.
- 5.18 For any academic year in which the candidate's Upgrade/Confirmation of Registration review occurs that process will also serve as Annual Review. This regulation will though only apply when both the Upgrade/Confirmation and the Annual Review are at first attempt.
- 5.19 No candidate will come to the end of a 24 month period (intermissions exempted) without having an Annual Review.
- 5.20 As part of the processes for monitoring postgraduate research activity the RDC will receive a report and action plan regarding Annual Review as part of the Annual Faculty Report.

Additional Review Provision for Candidates Receiving an Anglia Ruskin or External Studentship

- 5.21 In addition to the normal requirements for all postgraduate research students, special review or progress panels may be put in place for holders of:
- (a) an Anglia Ruskin studentship or fees only award OR;
 - (b) any external studentship or fees only award.

SECTION A6

SUPERVISION

Responsibilities and Composition of the Supervisory Team

- 6.1 The primary role and responsibility of postgraduate research supervisors is to advise upon and guide candidates through the scholarly and technical processes that enable candidates to produce a thesis at the appropriate level.
- 6.2 The supervisory team must have appropriate subject expertise and the necessary skills and experience to monitor, support and direct candidates' work.
- 6.3 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.
- 6.4 A research degree candidate shall have at least two supervisors, and no more than three, who **collectively** meet all of the following criteria:
 - (a) hold a doctoral award;
 - (b) have supervised a student for a substantial period of their course through to conferment at the level of the award being supervised;
 - (c) current and extensive engagement in research in the relevant discipline;
 - (d) relevant and peer-reviewed publications.
- 6.5 A third supervisor may not be used to meet the conditions stipulated in Regulation 6.4.
- 6.6 Normally the supervisory team will include members with experience of internal or external examining at the level of the award being supervised.
- 6.7 One member of the supervisory team must be a medical practitioner for candidates registered for the award of Doctor of Medicine by Research.
- 6.8 All supervisors must attend Anglia Ruskin University's Supervisor Training Session within six months of their first appointment to that role.

The First Supervisor

- 6.9 The First Supervisor shall be either:
 - (a) a full-time or fractional member of the academic staff of Anglia Ruskin University whose role includes full academic duties including research;
 - (b) an Emeritus Professor or Reader of Anglia Ruskin University, where this is in the best interest of the student. They must be based in the UK and still be research active;
 - (c) a full-time or fractional member of the academic staff of Cambridge Theological Federation or any other associate college where this arrangement has been agreed through the appropriate approval process.
- 6.10 Normally the First Supervisor will have supervised at least one student to conferment at the level of the award being supervised.

- 6.11 The First Supervisor must have current and active engagement in research in the relevant discipline.
- 6.12 First Supervisors must pass the online Epigeum course Ethics 2 - Research with Human Subjects in the Health and Social Sciences within six months of their first appointment to that role.

Internal Second or Third Supervisors

- 6.13 Nominations for appointment as an internal second or third supervisor are considered from members of academic and professional services staff including anybody who has a contract of employment with Anglia Ruskin University specifically to undertake research supervision.
- 6.14 In nominating supervisors, Faculties 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.
- 6.15 Visiting Professors can be nominated to act as a second or third supervisor (or as an advisor) during the period of their appointment in the visiting role. Normally the visiting appointment should last for the expected duration of the student's programme of research. The normal 'quarantine' period of three years after the termination of their visiting status will apply before they can be appointed as an external examiner.

External Supervisors

- 6.16 Faculties may nominate, and pay for, an external supervisor where this is deemed necessary but s/he cannot act as the First Supervisor.

Exclusions from Supervisory Teams

- 6.17 A relative/partner of the candidate shall not be permitted to be appointed as a member of the candidate's supervisory team.
- 6.18 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 RDC.
- 6.19 First Supervisors must have no line management relationship with any student they supervise. This would normally also be the case for other supervisors but where it cannot be avoided permission must be sought from the Director of the Doctoral School before the appointment is made.
- 6.20 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

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

Maximum Number of Candidates per Supervisor

- 6.22 The Faculty Director of Research Students shall ensure that individual supervisors are not overloaded by taking into account the following workload allocations:

First Supervisor		Second or Subsequent Supervisor	
<i>Full-time student</i>	<i>Part-time student</i>	<i>Full-time student</i>	<i>Part-time student</i>
1.0 FTE	0.5 FTE	0.5 FTE	0.25 FTE

- 6.23 Supervisors may normally supervise up to 8 full-time equivalent (FTE) postgraduate research degree students, to a total of 15 (head count).
- 6.24 In exceptional circumstances supervisors may supervise more students than given in Regulation 6.23. Prior approval for the additional students must be gained from the relevant Head of School and the Director of the Doctoral School.

Change in Supervision Arrangements

- 6.25 A proposal for a change in supervision arrangements shall be made to the PGRSPSC on the appropriate form.

Continuing Professional Development (CPD)

- 6.26 All supervisors employed by Anglia Ruskin University and any Associate College are required to attend a supervisor CPD session at least once every two years. External supervisors are strongly encouraged to attend.

SECTION A7

UPGRADE OF REGISTRATION FROM MPhil TO PhD OR CONFIRMATION OF REGISTRATION AS A CANDIDATE FOR PhD (DIRECT), MD (Res) OR FOR A PROFESSIONAL DOCTORATE

Purpose

- 7.1 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.
- 7.2 A candidate registered for the degree of MPhil only may apply to upgrade their registration to PhD within the time limits specified in Regulations 7.8-7.14 below.
- 7.3 A candidate registered for the degree of MProf only may apply to upgrade their registration to DProf within the time limits specified in Regulations 7.8-7.14 below.
- 7.4 A candidate who is registered for the degree of PhD and who is unable to complete the approved programme of work may, at any time prior to the submission of the thesis for examination, apply for the registration to be transferred to that for MPhil.
- 7.5 A candidate who is registered for the degree of MD (Res) and who fails to meet the requirements of confirmation of registration will not be eligible for an award.
- 7.6 If a candidate fails to submit the required documentation or attend the first viva meeting they will be deemed to have failed and move to resubmission status. They will be notified of a new submission deadline which will be within two months of the date of letter notifying them of the decision.
- 7.7 If a candidate has, for whatever reason, moved to resubmission status but fails to submit the required documentation or attend the rescheduled viva meeting the panel chair will notify the PGRSPSC of this event and recommend that the student is discontinued.

Timing of Application

For students starting their programme in September 2015 onwards:

- 7.8 PhD (direct), PhD via MPhil and MD (Res) candidates are required to apply for upgrade or confirmation of their registration between 9-18 months after starting their programme for full-time and between 15-24 months for part-time candidates.
- 7.9 Professional Doctorate candidates are required to apply for confirmation of registration no later than three years after starting their programme for part-time candidates and no later than two years after starting their programme for part-time candidates studying the taught stage on a full-time basis.
- 7.10 Professional Doctorate candidates who enrol on the programme structure in Part C (a) are required to apply for confirmation of registration between 9-18 months after completing the taught part of their studies.

For students starting their programme prior to September 2015:

- 7.11 PhD (direct) candidates are required to apply for confirmation of registration normally no later than two years after starting their programme for full-time, candidates and no later than four years after starting their programme for part-time candidates.

- 7.12 PhD via MPhil candidates are required to apply for upgrade of registration normally no later than two years after starting their programme for full-time, candidates and no later than four years after starting their programme for part-time candidates.
- 7.13 MD (Res) candidates are required to apply for confirmation of registration normally no later than one year after starting their programme for full-time candidates and no later than two years after starting their programme for part-time candidates.
- 7.14 Professional Doctorate candidates are required to apply for confirmation of registration no later than three years after starting their programme for part-time candidates and no later than two years after starting their programme for part-time candidates studying the taught stage on a full-time basis.

Submission Requirements

- 7.15 To apply for upgrade or confirmation of registration all candidates are required to submit:

For students starting their programme 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:
- (i) an introduction;
 - (ii) a narrative account of the research (including any research question(s), research problem(s), working hypotheses, etc.) incorporating where appropriate a critical review of the research already completed;
 - (iii) a section on methodology;
 - (iv) substantial examples of work towards draft sections of the thesis;
 - (v) a plan and timetable for the remainder of the work.
- (b) Completed form RD4. A copy of the Turnitin Originality Report must be submitted with the RD4 form.

For students starting their programme prior to September 2015:

- (c) 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:
- (i) the proposed title of the thesis;
 - (ii) a statement of the likely original contribution to knowledge;
 - (iii) an outline of the approach to the research/methodology/conceptual framework;
 - (iv) a critical review of the research undertaken to date;
 - (v) an indicative thesis structure;
 - (vi) an action plan detailing the necessary steps to completion.
- (d) 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 are 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.
- (e) completed form RD4. A copy of the Turnitin Originality Report must be submitted with the RD4 form.

Process

- 7.16 There are two stages in the process:
- (a) a consideration of the written submission by the review panel;
 - (b) an oral presentation by the candidate to the review panel followed by a viva.
- 7.17 The panel will reach a view on the application at the end of the two stage process.

Panel

- 7.18 The report is considered by a panel of not fewer than two academics who have received appropriate staff development. At least one member of the panel shall have substantial knowledge in the subject area. All members of the panel must be independent of the student and supervisors. They will all individually have experience of supervising at doctoral level.
- 7.19 If there is no one within Anglia Ruskin University with the necessary knowledge and expertise an external panel member must be sought. The Faculty Director of Research Students shall be responsible for determining whether or not an external panel member is required.
- 7.20 The panel will consider the report and presentation for evidence 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.

Exclusions from the Panel

- 7.21 A relative/partner of the candidate or supervisors shall not be permitted to be appointed as a member of the panel.
- 7.22 A candidate for a postgraduate research degree, except those submitting for a PhD by Published Work, shall be ineligible to act as a panel member.

Presentation

- 7.23 Candidates make a 15 minute presentation of their work in progress to the review panel. The style of presentation is at the candidate's discretion. The presentation should cover the following:
- (a) a brief résumé of the candidate's achievements in their research to date;
 - (b) the candidate's plan for their research, together with a timescale, for achieving their doctorate;

- (c) justification that the research is at doctoral level.

The panel members will then put any questions that they have to the candidate.

The candidate's performance in the oral presentation, and the subsequent question and answer session, will form part of the overall consideration of the application by the panel.

- 7.24 Up to two members of the supervisory team may be invited to attend the oral presentation, as observers only and subject to the agreement of the candidate.

Recommendations Available to the Panel at First Attempt

- 7.25 At first attempt, the Panel will make one of the following recommendations to the PGRSPSC:

- (a) the upgrade/confirmation is approved;
- (b) the upgrade/confirmation is not approved and the student must resubmit.

Institutional Approval

- 7.26 Within 10 working days of the meeting the review panel must provide a report on the application for consideration by the PGRSPSC.
- 7.27 The candidate will be informed of the recommendation of the reviewers and supplied with a copy of the joint report but the final decision rests with the PGRSPSC.
- 7.28 The PGRSPSC will consider the joint recommendation of the Panel and the comments of the individual members of the Panel on the written submission.
- 7.29 In considering an application for upgrade/confirmation of registration, the PGRSPSC will ensure that the review panel has followed due process.
- 7.30 Where the reviewers are unable to reach a joint recommendation the Faculty Director of Research Students will arrange for an additional independent panel member to be appointed. The additional panel member will review the submitted documentation and complete the appropriate form. They will meet with the student and supervisor(s) to receive an oral presentation and conduct a viva. They will then meet with the members of the original panel to produce a joint report for PGRSPSC. Any dissenting member of the panel may produce a minority report. All reports will be tabled at the PGRSPSC with a recommendation that the majority report be approved.

Unsuccessful Applications for Upgrade/Confirmation of Registration

- 7.31 If a candidate fails to make a successful application for upgrade/confirmation of registration they are given one further opportunity to revise the application. The revised application must be submitted within 4 months (for full-time candidates) and within six months (for part-time candidates) of the date of the letter notifying the candidate of the decision. In exceptional, and evidenced, circumstances these time limits may be extended by up to two further months by PGRSPSC.
- 7.32 If following resubmission and review by the Panel the candidate's revised application for upgrade/confirmation of registration is not approved, the candidate will:
 - (a) if enrolled on the PhD (direct) be transferred to MPhil and be subject to the applicable registration maxima;

- (b) if enrolled on the PhD via MPhil, remain on the MPhil and be subject to the applicable registration maxima;
- (c) if enrolled on a professional doctorate be transferred to MProf and be subject to the applicable registration maxima;
- (d) if enrolled on the MD (Res) be discontinued.

SECTION A8

WRITE UP STATUS

Preamble

- 8.1 Write Up status 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 Write Up status.

Period for Which Write Up Status May Be Held

- 8.2 Both full-time and part-time candidates may remain in Write Up status for an initial period of up to 12 months.
- 8.3 Candidates may request a second and final Write Up status period of up to 12 months but extensions to the initial period are permitted only where there are documented, exceptional, and **unforeseen** circumstances. Candidates must explain in their application why they were unable to submit their thesis within the initial 12 month period.
- 8.4 The approval of applications for an extension cannot be guaranteed. If the PGRSPSC is unable to approve the application, the candidate will be required to submit their thesis or withdraw.
- 8.5 Candidates who have not submitted their thesis for examination are discontinued at the end of their Write Up status period.
- 8.6 The maximum Write Up status period is 24 months.
- 8.7 A candidate may not return to full or part-time mode once they have entered Write Up status.

Criteria to be met in Order to Enter Write Up Status

- 8.8 To request Write Up status, candidates apply to the PGRSPSC confirming that:
- (a) it is viable for their thesis to be submitted within 12 months;
 - (b) they have submitted to their First Supervisor in draft form a substantial portion of their thesis;
 - (c) they have completed the minimum period of registration as set out in Section 4 of the Research Degrees Regulations;
 - (d) they have completed all active research including lab work;
 - (e) they have completed all analysis of their data;
 - (f) they will not need access to university facilities such as laboratories, provision of a room or a desk. (N.B. On entering Write Up status candidate's access to services are limited to the Library, IT facilities and the supervisory team);
 - (g) they have completed all compulsory researcher development activity and attended any compulsory workshops.

- 8.9 If, in exceptional cases, additional access is needed to studios, labs, workshops or other specialist facilities during Write Up status, written authorisation must be obtained in advance from the Faculty Director of Research Students. This authorisation must specify the reason the access is required and also the nature/extent and duration of the access. All requests granted must be reported to the next meeting of the PGRSPSC.
- 8.10 Candidates wishing to enter Write Up status should discuss with their supervisory team the viability of submitting their thesis for examination within the permitted 12 months before they submit their application.
- 8.11 Supervisors must ensure that applications for Write Up status are not submitted retrospectively. Retrospective requests for approval to enter Write Up status will only be considered where the candidate can demonstrate that they were prevented from applying prospectively.
- 8.12 The approval of applications for retrospective Write Up status cannot be guaranteed and if the PGRSPSC is unable to approve the application, the candidate will be required to enrol and pay appropriate fees for that period of time.
- 8.13 Candidates submitting for a doctorate must have successfully completed upgrade/confirmation of registration before entering Write Up status.

Write Up Status Entry Points

- 8.14 Candidates may enter Write Up status 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

SECTION A9

THE THESIS

- 9.1 The award will not be made until the final copy of the thesis is submitted to the Research Degrees Examination Officer (see Regulations 9.36 and 9.37 below).

Title of the Thesis

- 9.2 The thesis title is approved when the PRSPSC appoints the examiners. Any request to change the title after this point must be made in writing to the PGRSPSC and before the thesis is submitted for the viva.
- 9.3 Any change to the title of a submitted thesis required by the PGRSPSC will be communicated to the examiners.

Research Degrees Involving Creative Work

- 9.4 A candidate may undertake a programme of research in which the candidate's own creative work forms a substantive part of the intellectual enquiry. Such creative work may be in any field (for instance, 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 may be partly in other than written form.
- 9.5 The submission as a whole, creative work and associated commentary/documentation will form the thesis. The commentary, setting the creative work within its relevant theoretical, critical or design context shall conform to the usual scholarly requirements and be of an appropriate length (see Regulation 9.25 below).
- 9.6 For a PhD involving creative writing, the creative component will be volume or book length to suit the particular genre (e.g. novel, collection of poetry or stories, play, biography).
- 9.7 The final submission shall be accompanied by some permanent record of the creative work, to be submitted in digital format (as for example, video, photographic record, CD-ROM, DVD-ROM, musical score, diagrammatic representation).
- 9.8 Where the above conditions apply the research proposal and application for confirmation of 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

- 9.9 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.
- 9.10 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 a Language Other than English

- 9.11 Permission to present a thesis, and be examined, in a language other than English shall normally be sought at the time of application. Permission shall normally only be given if the subject matter of the thesis involves language and related studies.
- 9.12 Where the need arises to present a thesis and be examined in a language other than English subsequent to registration, approval must be sought from the PGRSPSC.
- 9.13 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

- 9.14 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:
- (a) what was investigated and why;
 - (b) how the topic was investigated;
 - (c) what was found;
 - (d) 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 in **Annex 2**.

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

Acknowledgements

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

Source Material – Referencing

- 9.16 All sources referred to in the thesis must be included in the reference list. In some subjects a bibliography may be appropriate.
- 9.17 Normally, Anglia Ruskin University candidates use the Harvard Referencing System 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: <http://libweb.anglia.ac.uk/referencing/harvard.htm>.

Presentation of Collaborative Research

- 9.18 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

- 9.19 The candidate shall be free to publish material in advance of the thesis but reference shall be made in the thesis to any such work⁴.

Copyright

- 9.20 Copyright in theses is normally held by the candidate unless an agreement has been made to transfer it, for example to a sponsor.
- 9.21 When a candidate submits a thesis for examination they are required to complete a Thesis Deposit Agreement form. By signing this form they agree that a digital copy of the 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).
- 9.22 When a candidate submits a thesis they can request that it is placed under limited access. This may be because of the commercially sensitive or confidential material it contains, or because of the copyright material it contains.
- 9.23 If a candidate includes copyright material belonging to someone else (third party copyright material), in their thesis they will need to assess if permission to include this in the digital version of the thesis is necessary (see separate guidance provided by the Library/Doctoral School).
- 9.24 If a candidate intends to include material in their thesis they have already published they must check if the publisher will permit this.

Maximum Word Limits

- 9.25 The text of the thesis should not exceed the following length:

Award	Length
MPhil in Science, Engineering	30,000 words
MPhil in Arts, Health, Social Sciences, Medicine, Medical Science and Education	60,000 words
PhD in Science, Engineering	60,000 words
PhD in Arts, Health, Social Sciences, Medicine, Medical Science and Education	80,000 words
MD by Research	50,000 words
Professional Master's	40,000 words
Professional Doctorate	60,000 words

⁴ 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

The word lengths detailed above for Professional Master's and Professional Doctorate are for those programmes operating under the regulations approved by the Senate in June 2016 (see Part C (a)). Students on programmes operating under the regulations agreed by the Senate prior to June 2016 should consult Part C (b) for the relevant word lengths.

- 9.26 Applications to exceed these word limits must be made to PGRSPSC before the thesis is submitted to the Doctoral School. Applications will normally only be considered where the new total falls within the range of plus 10 percent of the word limits given in Regulations 9.25 and 9.29.
- 9.27 Any over-length thesis submitted for examination without agreement will be returned.
- 9.28 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.
- 9.29 If appropriate to the field of study, and subject to approval by the Faculty Director of Research Students at the start of their initial registration, a candidate may submit, for practice based research a portfolio (the creative work) of original artistic or technological work undertaken during his/her period of registration as part of a thesis. The creative work may take the form of, for example, objects, images, films, creative writing, 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 the faculty in a secure location and available to be shared on request and in a timely manner. The submission must include written commentary on the creative work that sets it in its relevant theoretical, historical, critical, or technical context. For such creative work, the written commentary must be no longer than:
- | | |
|--------------|---------------|
| for an MPhil | 20,000 words |
| for a PhD | 40,000 words. |
- 9.30 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 upgrade/confirmation of registration.

Formal Requirements for the Thesis

- 9.31 Examiners can request to be supplied with an electronic copy of the thesis instead of a printed copy. The preference of the examiners will be determined by the Doctoral School at appointment and communicated to the candidate.
- 9.32 Unless informed otherwise by the Doctoral School, the candidate will submit sufficient copies of the thesis in printed form to supply one for each examiner. An identical digital version – in Word or PDF/A⁵ format - must be supplied for the viva Chair. All copies of the thesis must be submitted to the Research Degrees Examination Officer in the Doctoral School. If the thesis falls under the definition of creative work the creative element may be submitted in portfolio or in digital format, as befits the material. The critical commentary will be treated as a thesis in this regard and the procedure regarding examiner preference for format will apply.

⁵ 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

- 9.33 The printed copy of the thesis, must comply with the requirements detailed in 9.30 and 9.31. The printed copy of the theses should be submitted for examination in a temporary bound form such as perfect-binding (perfect-binding is a method of binding single pages by gluing them together on the spine of the document), which is sufficiently secure to ensure that pages cannot be added or removed.
- 9.34 The following requirements shall be adhered to in the format of all submitted thesis:
- (a) The thesis shall normally be in A4 format; the PGRSPSC 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) The size of character used in the main text, including displayed matter and notes, shall be Arial 11 or Times New Roman 12 font unless the PGRSPSC has given permission for another font to be used;
 - (c) 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;
 - (d) Pages shall be numbered consecutively through the main text including photographs and/or diagrams included as whole pages;
 - (e) The title page shall follow both the content and layout given in the specimen title page in **Annex 2**;
 - (f) Between the title page and the first page of text a candidate must include:
 - (i) an acknowledgements page, numbered with Roman numerals as (i);
 - (ii) the abstract, numbered page as (ii);
 - (iii) a Table of Contents, whose pages are 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
 - Notation
 - Chronology of Events
 - Supplementary materials
 - References
 - List of AppendicesAll numbered sequentially in roman numerals.
 - (g) start of main text;
 - (h) following the main text - references, bibliography and appendices.

- 9.35 For the printed copy supplied to 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;
 - (b) The thesis shall be printed on both sides of the page; the paper shall be white and within the range 70 g/m² to 100 g/m²;
 - (c) All chapters and appendices will start on a right hand page;
 - (d) The margin at the left-hand edge of the page shall not be less than 40mm; other margins shall not be less than 15mm.

Final Version of the Thesis

- 9.36 Following examination and the incorporation of any amendments which the examiners require, the candidate will submit a final version in PDF/A format to the Research Degrees Examination Officer for the Anglia Ruskin University institutional repository. This copy will be:
- (a) Submitted within one calendar month of the email⁶ notifying the candidate of the decision of the PGRSPSC;
 - (b) Accompanied by the completed Thesis Deposit Agreement Form which confirms agreement for the thesis to be published in the institutional repository and for it to be 'harvested' from there by the British Library for inclusion in their British universities theses database, EThOS (Electronic Theses Online Service).
- 9.37 Once the thesis is deposited digitally the copyright agreement in the Thesis Deposit Agreement Form will come into effect.

Confidentiality

- 9.38 Where a candidate or Anglia Ruskin University wishes the thesis to remain confidential, application shall normally be made at the time of seeking approval of the examiners from the PGRSPSC.
- 9.39 In cases where the need for confidentiality emerges at a later stage, a special application for the thesis to remain confidential must be made to the PGRSPSC.
- 9.40 While the normal maximum period of confidentiality is two years from the date of oral examination, in exceptional circumstances the PGRSPSC may approve a longer period.
- 9.41 Where a shorter period would be adequate the PGRSPSC shall not automatically grant confidentiality for two years.
- 9.42 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.

⁶ The email will be sent to the candidate's Anglia Ruskin e-mail address

9.43 The PGRSPSC will normally only approve an application for confidentiality for one (or more) of the following reasons:

- (a) in order to enable a patent application to be lodged;
- (b) the thesis contains politically sensitive material;
- (c) conditions imposed by a sponsor;
- (d) where the student has been unable to obtain, or is unable to pay for, permission to use third party copyright material;
- (e) the thesis contains commercially sensitive information, the release of which might prejudice the commercial interests of any person including the author, the University or an external company;
- (f) the thesis includes material that was obtained under a promise of confidentiality;
- (g) placing the thesis in the public domain might endanger the physical or mental health or the safety of an individual;
- (h) placing the thesis in the public domain would cause the author or third parties mentioned in the text to be open to legal challenge or racial, ethnic, political or other persecution;
- (i) publication would cause the student or third parties mentioned in the text to be open to legal challenge or racial, ethnic, political or other persecution.
- (j) publication would cause the student or third parties mentioned in the text to be open to legal challenge or racial, ethnic, political or other persecution.

A thesis shall not be restricted in this way in order to protect research leads.

9.44 Candidates should consider before any application that:

- (a) The starting assumption is always that research can be made publicly available;
- (b) Confidentiality should not be used as an alternative to legitimate ways of anonymising data to protect participants;
- (c) Sensitive material can be removed to an appendix and embargoed separately so that the main body of research is still available publicly;
- (d) Candidates should be following good practice in these areas (regardless of electronic access);
- (e) Issues relating to potential harm to individuals or the author should be considered as part of the research design and the ethical approval process.

9.45 A candidate may apply to the PGRSPSC for an extension of the confidentiality period.

SECTION A10

THE CANDIDATE'S RESPONSIBILITIES IN THE EXAMINATION

General

- 10.1 The Doctoral School 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 (see Section 9).

Candidate's Exclusion from the Examination Arrangements

- 10.2 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

- 10.3 The candidate shall satisfy any conditions of eligibility for examination required by the PGRSPSC.

Required Format for the Thesis at Examination

- 10.4 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.

Creative Work

- 10.5 In cases where the research degree involves creative work in addition to the written commentary, 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

- 10.6 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

- 10.7 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.

Where the Thesis is Confidential

- 10.8 Where Anglia Ruskin University's PGRSPSC has approved a candidate's request for confidentiality of the thesis, the examiners and the independent Chair are 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

- 10.9 Candidates are required to attend the *viva voce* examination on the agreed date unless there are exceptional and unforeseen circumstances which prevent attendance.
- 10.10 The *viva voce* examination must take place within 3 calendar months of the examiners receiving the thesis.
- 10.11 Candidates are permitted to give a presentation as part of their *viva voce* examination by prior agreement with the examiners. Candidates must make this request to the Research Degrees Examination Officer at least 10 working days' before the scheduled date for the viva.

SECTION A11

THE EXAMINERS

Appointment of the Examiners

- 11.1 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

- 11.2 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.
- 11.3 Where the candidate is a member of staff of Anglia Ruskin University, or an associate college, there shall be two external examiners and no internal examiner.
- 11.4 A student employed on an hourly-paid, fixed term, contract will not be regarded as a member of staff in this respect. However, a student employed on a fractional FTE, fixed term contract will be regarded as a member of staff. In the latter case the student will continue to be considered a member of staff in this regard for 12 months after the end of the contract.

External Examiners

- 11.5 An external examiner shall be independent of Anglia Ruskin University and any Associate College and shall not have acted previously as the candidate's supervisor or adviser.
- 11.6 Former members of staff of Anglia Ruskin University may be appointed as external examiners provided that a period of at least three years has passed since the termination of their employment.
- 11.7 Former doctoral candidates of Anglia Ruskin University may be appointed as external examiners provided that a period of at least three years has passed since the termination of their registration as a student with Anglia Ruskin University.
- 11.8 Honorary and Emeritus staff of the University shall not be appointed as external examiners.
- 11.9 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 three years after the end of their period of appointment.
- 11.10 External examiners must be able to demonstrate relevant and current expertise through high quality and peer-reviewed publications or other appropriate forms of research output in an area appropriate for the thesis under examination. Emeritus staff of another institution may be appointed as external examiners provided they meet these criteria.
- 11.11 External examiners will normally have experience of both supervising and examining postgraduate research degrees. Where this is not the case the internal and external examiner must have experience of examining at least three students between them at the appropriate level.

11.12 No external examiner will:

- (a) have been involved in the three years immediately before the *viva voce* examination in any collaborative project, including co-authoring, with any member of the supervisory team of the candidate to be examined or any other member of the examining team;
- (b) have or have had a close personal relationship with the candidate to be examined or any member of the supervisory team;
- (c) have had in the three years immediately before *viva voce* examination a contractual relationship with the candidate to be examined or any member of the supervisory team.

If any one of the above criteria cannot be met, the First Supervisor must submit a rationale outlining the examiner's particular suitability.

Internal Examiners

11.13 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 or;
- (c) an Emeritus Professor or Reader of Anglia Ruskin University as long as they are still research active or;
- (d) a Visiting Professor of Anglia Ruskin University. The normal 'quarantine' period of three years after the termination of their visiting status will apply before they can be appointed as an external examiner.

Examiners' Experience

11.14 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.

11.15 The examining team shall have substantial experience (at least three students) 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).

11.16 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.

11.17 In an examination for a Professional Doctorate the examining team shall have experience of examining at least one Professional Doctorate candidate.

11.18 In an examination for a Doctor of Medicine by Research the examining team shall have experience of examining at least one Doctor of Medicine candidate, and one examiner must be an appropriately qualified medical practitioner.

Exclusion from Examining Teams

- 11.19 No candidate for a research degree within Anglia Ruskin University or Associate Colleges shall act as an examiner.
- 11.20 No current or past supervisor can be appointed as an examiner for that candidate.
- 11.21 No relative of the candidate or of the members of the supervisory team can be appointed as an examiner for that candidate.
- 11.22 The PGRSPSC 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 postgraduate research degree candidates over a period of three years at Anglia Ruskin University.
- 11.23 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

- 11.24 The appointment of examiners shall be approved by the PGRSPSC, or, in exceptional circumstances, the Chair acting on behalf of the PGRSPSC.
- 11.25 Once approved the examiners are appointed for a period of 12 calendar months. If the viva has not taken place by the end of this period the examiners must be re-appointed.

Fees and Expenses for External Examiners

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

SECTION A12

FIRST EXAMINATION

General

- 12.1 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.
- 12.2 The examination for a Professional Doctorate or Professional Master's shall have three stages: first passing the taught modules which constitute Stage 1 of this award and which have 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.
- 12.3 The PGRSPSC 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 PGRSPSC 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.
- 12.4 The PGRSPSC (or its Chair, acting on behalf of the Subcommittee) 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 PGRSPSC, acting on behalf of the Senate of Anglia Ruskin University.

Disability

- 12.5 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

- 12.6 The degree of Professional Master's, 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 PGRSPSC shall seek evidence that the candidate would have been likely to have been successful had the oral examination taken place before submitting a formal recommendation to the Academic Registrar for the attention of the Senate.

Assessment Criteria for Postgraduate Research Degrees

- 12.7 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 Master's and Postgraduate Diploma in Professional Research are set out in Part C of these Regulations.

Preliminary Report on the Thesis

- 12.8 The Doctoral School, 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 and Anglia Ruskin University's Research Degrees Regulations and the Notes of Guidance for Examiners. It will also deal with any questions the examiners have concerning the regulations and procedures.
- 12.9 Each examiner will read the thesis and provide an independent Preliminary Report on it to the University 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 and where possible shall make an appropriate provisional recommendation subject to the outcome of an oral examination.
- 12.10 All Preliminary Reports must be received by the Doctoral School at least ten working days before the scheduled date of the viva. The University may reschedule a viva where this is not the case.
- 12.11 The Doctoral School will ensure that all examiners Preliminary Reports are distributed to the examination team prior to the viva. Examiners are required to keep the Preliminary Reports confidential prior to the viva and any breach of confidentiality will invalidate the examination.
- 12.12 The Preliminary Reports will be shared with attending supervisors at the viva. If no supervisor is in attendance, the Preliminary Reports will be supplied to them electronically within five working days of the viva.

Dispensing with the Oral Examination

- 12.13 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 the PGRSPSC shall dispense with the oral examination and refer the thesis for further work. In such cases the examiners shall provide the PGRSPSC with written guidance for the candidate concerning the deficiencies of the thesis.
- 12.14 The resubmission will count as a re-examination and be treated under the provisions of Section 13.
- 12.15 The examiners shall not recommend that a candidate fail outright without holding an oral examination.
- 12.16 The PGRSPSC will normally agree that the resubmitted thesis should be submitted within 12 months.

Outright Failure

- 12.17 Where the examiners recommend at the oral examination that the degree be not awarded and that no re-examination be permitted, they shall prepare for the PGRSPSC an agreed statement of the deficiencies of the thesis and the reason for their recommendation. This statement will be forwarded to the candidate by the Research Degrees Examination Officer.

The Oral Examination

- 12.18 It is the responsibility of the Doctoral School 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.
- 12.19 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.
- 12.20 The oral examination shall normally be held in the UK (on University or Associate College premises). In exceptional and unforeseen circumstances the PGRSPSC may give approval for the examination to take place by video conference.
- 12.21 Up to two members of the supervisory team and the Chair of the RDC may, with the consent of the candidate, attend the oral examination as observers, but shall withdraw prior to the deliberations of the examiners on the outcome of the examination.
- 12.22 The only other people who may attend the oral examination are those who are necessary for the University to discharge its obligations under the Equality Act 2010 and where this has been agreed in advance through the production of a Summary of Reasonable Adjustments (SRA).
- 12.23 At the end of the examination the candidate and supervisors will leave the room. The examiners or the Chair may however invite them back to clarify any outstanding issues arising from the examination.

The Role of the Chair

12.24 Each examination shall be chaired by an independent Chair who has attended the appropriate training. This training is provided to ensure that Chairs carry out their role 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 advise the examiners and/or the candidate on Anglia Ruskin University's regulations, procedures, policy and practice.

Examiners' Pre Meeting

12.25 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

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

12.27 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 PGRSPSC to satisfy itself that the recommendation chosen in Regulation 12.28 below is correct. Where the examiners are not in agreement, separate reports and recommendations shall be submitted.

Recommendations Available to the Examiners

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

- (a) The candidate may be awarded the degree;
- (b) the candidate be awarded the degree subject to minor amendments being made to the thesis (see Regulations 12.30-12.32 below);
- (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 Regulation 12.7(e) above);
- (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(b), Regulation 10.2 below;

- (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 Regulation 12.37 below).

12.29 The examiners shall inform the candidate of their recommendations to the PGRSPSC but must make it clear that the final decision rests with the PGRSPSC.

Minor Amendments to the Thesis

- 12.30 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 examination 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) (Regulation 12.28 (b) above). They shall indicate to the candidate in writing what amendments and corrections are required within ten working days of the oral examination.
- 12.31 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.
- 12.32 Where minor amendments are required 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 PGRSPSC 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.
- 12.33 Where the examiners are unable to agree a joint recommendation the procedures in Regulations 13.9, 13.13 and 13.14 below shall apply.

Other Amendments to the Thesis

- 12.34 For outcomes (c) – (j) above the candidate must submit the amended thesis within a maximum of twelve months from the date the examiners' feedback is sent to them.

Feedback from the Examiners to the Candidate Post-Viva

- 12.35 The examiners must supply the Research Degrees Examination Officer with a report detailing the amendments and corrections they require within ten working days of the date of the oral examination.

12.36 The Research Degrees Examination Officer will supply the report to the candidate within five working days of receipt from the examiners.

Failure at First Examination

12.37 Where the PGRSPSC accepts the recommendation 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 Research Degrees Examination Officer.

Where Recommendations are not Unanimous

12.38 Where the examiners' recommendations are not unanimous, the Faculty Director of Research Students is invited to nominate an additional external examiner to consider the thesis. This nomination is considered by the Chair of the PGRSPSC for approval by Chair's action.

12.39 Where an additional external examiner is appointed under Regulation 12.38 above, they shall prepare an independent 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. The reports from all the examiners are considered by the Chair of the PGRSPSC or the full Subcommittee itself.

Conferment of the Award

12.40 The PGRSPSC (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 PGRSPSC acting on behalf of the RDC, Research & Innovation Committee and the Senate of Anglia Ruskin University.

Research Degree Certificates

12.41 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.

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

12.43 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 PGRSPSC, 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]*;
- a reference to the existence of a transcript for Professional Doctorate awards conferred under Part C (a) or Part C (b) of these Regulations.

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

12.45 The Academic Registrar is responsible for the provision of all award certificates, prepared in secure conditions and in a format designed to minimise the risk of forgery.

12.46 The Academic Registrar is responsible for maintaining a record of the names of all recipients of an academic award conferred by Anglia Ruskin University.

12.47 Following the conferment of the award the candidate is invited by the Academic Registry's Assessment Service to attend a graduation ceremony.

12.48 For students registered for a Professional Doctorate award conferred under Part C (a) or Part C (b) of these Regulations, Anglia Ruskin provides a transcript of taught Stage 1 performance. The transcript contains:

- (a) 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 this information is correctly entered;
- (b) the award title as defined in the Research Degrees Regulations;
- (c) a record of the outcome of every module in which the student has been assessed (whether or not the student has passed the module) with details of the module title, level, credit volume, module result and date of completion;
- (d) where appropriate, the award conferred on the student. This may be an intermediate award rather than the award for which the student was originally registered;
- (e) the date of publication of the transcript;
- (f) the name of any Associate College with whom Anglia Ruskin University has collaborated in relation to the named award;
- (g) a reference to the language of assessment for the award if this is not English⁷.

Retracting an Anglia Ruskin Award after Conferment

12.49 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 may have occurred.

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

⁷ This reference is to satisfy the expectations contained within Section B10 of the QAA's UK Quality Code for Higher Education (December 2011). The requirement does not apply to courses (or their constituent modules) relating to the study of a foreign language where the principal language of assessment is also the language of study

- 12.51 If the Secretary and 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 Academic Registrar maintains a record of such decisions and these are reported to the next scheduled meeting of the Senate.

SECTION A13

RE-EXAMINATION

Requirements for Re-Examination

- 13.1 All resubmitted theses must conform to the requirements in Section A9 above.
- 13.2 Candidates are normally allowed one re-examination.
- 13.3 In order for the re-examination to occur the examiners must:
- (a) recommend that the candidate revise the thesis and be re-examined;
 - (b) provide the candidate 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);
- Anglia Ruskin University reserves the right to seek further details on the remedial action, if this is deemed necessary;
- 13.4 The candidate shall normally submit for re-examination within the period of 12 months from the date the examiners' feedback is sent to them. The PGRSPSC may, where there are good reasons, approve an extension of the resubmission period.
- 13.5 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.
- 13.6 The PGRSPSC may require that additional or replacement external examiners are appointed for the re-examination.
- 13.7 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.
- 13.8 Examiners are required to submit their preliminary report on the resubmitted thesis:
- (a) at least 10 working days before any oral examination where there is a viva;
- OR
- (b) at least 25 working days after receiving the thesis where there is no viva.
- 13.9 Where the examiners' recommendations are not unanimous at the resubmission stage, the reports are shared with each examiner and the examining team is asked to consult and to make every effort to provide a joint recommendation to the PGRSPSC. Where this is not possible the procedure in Regulations 13.13 and 13.14 below will apply.

Forms of Re-Examination

13.10 There are three forms of re-examination:

- (a) with a viva following a resubmission;
- (b) without a viva following a resubmission;
- (c) where on the first examination the candidate's thesis was so unsatisfactory that the PGRSPSC dispensed with the oral examination, any re-examination must include an oral examination;

Outcomes on Re-Examination

13.11 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;
- (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 Regulation 12.7(e) above;
- (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 (b), Regulation 10.2.

13.12 For outcomes (b) to (d) the candidate must submit the amended thesis within a maximum of six months from the date the examiners' feedback is sent to them. The PGRSPSC may, where there are exceptional reasons, approve an extension of this period.

Where the Examiners are Unable to Reach a Unanimous Recommendation

13.13 Where the examiners recommendations are not unanimous, the Faculty is invited to nominate an additional external examiner to consider the thesis. This nomination is considered by the Chair of the PGRSPSC for approval by Chair's action.

13.14 Where an additional external examiner is appointed, they shall prepare an independent report on the basis of the resubmitted thesis and, if appropriate, a further oral examination. That examiner will not be informed of the recommendations of the other examiners. The reports of all the examiners are considered by the Chair of the PGRSPSC or the full Subcommittee.

Failure on Re-Examination

13.15 The PGRSPSC may decide, on the recommendation of the examiners, that the degree be not awarded and that no further 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 Research Degrees Examination Officer.

13.16 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 PGRSPSC (i.e. not Chair's action).

SECTION A14

ACADEMIC MISCONDUCT

Introduction

- 14.1 As an academic community, Anglia Ruskin University recognises that the principles of truth, honesty and mutual respect are central to the pursuit of knowledge. Behaviour that undermines these principles weakens the community, both individually and collectively, and diminishes Anglia Ruskin's values. Anglia Ruskin is committed to ensuring that every student and member of staff is made aware of the responsibilities he/she bears in maintaining the highest standards of academic integrity and how those standards are protected.
- 14.2 This section of the Research Degrees Regulations describes Anglia Ruskin University's policy for managing an alleged assessment offence by students registered for an postgraduate research award conferred by Anglia Ruskin University, including all students registered at a UK or international Associate College. Students registered for (the taught) Part 1 of a Professional Doctorate programme are considered under Section 10 of the *Academic Regulations* (www.anglia.ac.uk/academicregs). All Associate Colleges are required to forward to the Academic Registrar any case of an alleged assessment offence for investigation by Anglia Ruskin University, as set out in these Regulations.
- 14.3 The Senate has approved procedures for dealing with an alleged assessment offence at postgraduate research level and these are conducted under the auspices of the Senate's RDC which is formally responsible for the investigation of all such cases. Through the Academic Registrar (or nominee), the RDC establishes a Panel to hear each case, where appropriate, chaired by a member of the RDC.
- 14.4 The Academic Registry maintains a record of all assessment offences and penalties.
- 14.5 The principal method of communication with a student throughout the academic misconduct process is the student's Anglia Ruskin e-mail account. Written letters are sent as e-mail attachments. Communication is not conducted via postal services except for the final outcome.
- 14.6 If the behaviour of a student becomes threatening or abusive during Stage 1 or Stage 2 of the process detailed below, then the relevant Faculty Director of Research Students or Panel Chair respectively is empowered to suspend the process and refer the matter to the Secretary & Clerk under the disciplinary procedures contained within the *Rules, Regulations and Procedures for Students*. The process may resume at a later date, pending the outcome of the disciplinary process.

Definitions

- 14.7 For the purpose of these Research Degrees Regulations an "assessment offence" is the generic term used to define cases where a student(s) has sought to gain unfair academic advantage in the assessment process for him/herself or another student(s) and/or not complied with internal or external ethical approval processes or breached a principle of research integrity.
- 14.8 An assessment offence may be committed in relation to work undertaken for any assessment method used by Anglia Ruskin University and its Associate Colleges.

14.9 An alleged assessment offence which represents potential research misconduct will be referred to the *Policy for the Investigation of Allegations of Misconduct in Research* in the first instance. Should the outcome of this investigation be that the Deputy Vice-Chancellor (Research and Innovation) believes that 'Serious Misconduct in Research' has taken place, the case will be referred directly to Stage 2: Panel Hearing of this procedure, if the student does not admit the offence.

14.10 There are many forms of assessment offence including (this is not an exhaustive list):

- (a) impersonating another student;
- (b) submitting someone else's work as one's own (known as "plagiarism": see below for a definition);
- (c) falsifying data;
- (d) the unauthorised and unattributed submission of an assessment item which has been produced by another student or person;
- (e) the behaviour of one or more students which may result in the poor academic performance of another student or students;
- (f) any attempt to bribe or provide inducements to members of Anglia Ruskin University staff, or to internal or external examiners in relation to the assessment process in its entirety;
- (g) carrying out research without ethical or other relevant approval;
- (h) breaching the principles of research integrity;
- (i) any attempt which, if enacted, is designed to undermine or breach the Research Degrees Regulations.

14.11 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:

- (a) the verbatim copying of another person's work without acknowledgement;
- (b) the close paraphrasing of another person's work by simply changing a few words or altering the order of presentation without acknowledgement;
- (c) 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.

Stage 1: Investigation and Making an Allegation

- 14.12 All candidates are expected to produce and submit a Turnitin report for their:
- (a) research proposal;
 - (b) annual review;
 - (c) submissions for upgrade/confirmation of registration;
 - (d) their thesis;
 - (e) resubmitted thesis, where resubmission is required.
- 14.13 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 have been addressed.
- 14.14 Where a Supervisor, upgrade/confirmation of registration panel chair or Examiner is concerned that an assessment offence has been committed, the case is referred to the Faculty Director of Research Students. If the Faculty Director of Research Students believes that there is a case to answer he/she refers the matter to the Academic Registrar for further investigation.
- 14.15 On receipt of a suspected offence, the Academic Registrar nominates an Investigating Officer from amongst the RDC membership, who is independent of the Faculty in which the candidate is registered.
- 14.16 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 (e.g.: plagiarism, collusion etc.). In reaching this conclusion, the Investigating Officer presents his/her findings to the Academic Registrar, within two weeks of being nominated to investigate the case.
- 14.17 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 is put to the candidate by the Academic Registrar.
- 14.18 If a candidate denies the alleged assessment offence, the Academic Registrar convenes a Stage 2 Panel to hear the allegation and to give the candidate an opportunity to demonstrate that cheating has not occurred.
- 14.19 If a candidate admits to the allegation, the Academic Registrar applies the appropriate penalty in accordance with Regulations 14.26-14.29.

Stage 2: Panel Hearing

- 14.20 The Academic Registry is responsible for convening Stage 2 Panel Hearings. Membership of the Panel comprises:
- (a) two members of the RDC 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);
 - (b) a member of Anglia Ruskin University's Academic Regulations Subcommittee;
 - (c) a postgraduate research student from another Faculty nominated by the president of the Students' Union, in consultation with the Executive Secretary;

The Academic Registry's Quality Assurance Service appoints an Executive Officer who minutes the Panel meeting and deliberations.

- 14.21 In addition, the following have the right to be in attendance:
- (a) the President of the Students' Union (or an elected representative of the Students' Union);
 - (b) the presenter of the case (Dean of Faculty or nominee);
 - (c) the student whose case is being heard and his/her friend or a representative of the Students' Union.
- 14.22 Neither Anglia Ruskin University nor the student whose case is being heard is legally represented during the conduct of a hearing.
- 14.23 The Hearing is formal and operates in accordance with the procedure set out in Section 10 of the *Academic Regulations*. The Hearing will take place as soon as possible and no later than two months after the student has responded to the formal allegation in Stage 1, requesting a referral to a Stage 2 Panel Hearing.
- 14.24 Exceptionally, in the event of the unavoidable absence of a Panel member (eg: due to illness), in order to reduce the inconvenience to the student, the Panel Hearing may proceed with three members provided that:
- One of the three members is a member of the RDC or a member of staff approved to act as the chair of a hearing and;
 - The student whose case the Panel has been convened to hear has no objections to proceeding with a three member Panel.
- 14.25 A report of the Panel Hearing is submitted to the RDC for information and to the PGRSPSC to implement the outcome of the process.

Penalties

- 14.26 Where an allegation of an assessment offence or serious misconduct in research has been proved or admitted, the Academic Registrar, following consultation with the Deputy Vice-Chancellor (Research and Innovation) – as chair of the RDC - recommends to the Vice-Chancellor that the student be expelled from Anglia Ruskin University. A student who is expelled under the Academic Misconduct process is not entitled to receive an intermediate award of any nature. For courses which attract academic credit, a transcript detailing the academic credit attained is issued.
- 14.27 If during the process the candidate provides evidence of extenuating 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 extenuating circumstances, the prescribed penalty is exceptionally inappropriate they can, at their discretion, refer the matter to the Academic Registrar for discussion with the Deputy Vice-Chancellor (Research and Innovation), to review the appropriateness of the penalty. The Investigating Officer and the Panel are not authorised to amend the penalty themselves.
- 14.28 The referral must be supported by relevant documentary evidence. The Academic Registrar and Deputy Vice-Chancellor (Research and Innovation) consider the case within ten working days of receiving the request to review the penalty and are authorised to impose an alternative penalty.

14.29 All assessment offences are formally notified to the student at the conclusion of the process, in writing, by the Academic Registrar. Such notifications are sent within 20 working days of notification of the conclusion of the process by the Academic Registry.

Office of the Independent Adjudicator

14.30 If a student is not satisfied with the decision of the Panel Hearing, the student may make representation to the Office of the Independent Adjudicator for Higher Education (OIA). For these purposes, the final communication to the student under Regulation 14.29 above also serves as the 'Completion of Procedures Letter' required under OIA procedures.

SECTION A15

ACADEMIC APPEALS

[N.B. In this section of the Regulations all references to ‘the Academic Registrar’ should be taken to include ‘or nominee’, all references to ‘Director of Research Students’ should be taken to include ‘or equivalent’ and all references to the Chair of the PGRSPSC should be taken to include ‘or nominee’]

Introduction

- 15.1 This section of the Research Degrees Regulations describes Anglia Ruskin University’s academic appeals policy for all students registered on a postgraduate research (PGR) award conferred by Anglia Ruskin University, including all students registered at a UK or international Associate College. All appeals, including those from students registered at UK and international Associate Colleges are administered by Anglia Ruskin University. Appeals from students registered at international Associate Colleges may require special arrangements in order to administer the appeal.
- 15.2 This appeals procedure is also open to relevant former students. In this instance ‘former’ means an appellant who lodges their appeal within 20 working days from the date of their award as specified on their award letter.
- 15.3 The Research Degrees Regulations are applied fairly and consistently and in accordance with Anglia Ruskin University’s equal opportunities policy.
- 15.4 In dealing with an academic appeal, privacy and confidentiality are assured unless disclosure is necessary to progress the appeal.
- 15.5 The principal method of communication with an appellant throughout the academic appeals process is the appellant’s Anglia Ruskin e-mail account. Written letters are sent as e-mail attachments. Communication is not conducted via postal services except for the final outcome.
- 15.6 If the behaviour of an appellant becomes threatening or abusive during the course of the internal resolution process or a Panel Hearing, then the Academic Registrar or Panel Chair respectively is empowered to suspend the process and refer the matter to the Secretary & Clerk under the disciplinary procedures contained within the *Rules, Regulations and Procedures for Students*. The appeal process may resume at a later date, pending the outcome of the disciplinary process.
- 15.7 An appellant may appoint a representative - for example a Students’ Union Adviser. This representative may not be a solicitor or other legal practitioner.
- 15.8 All parties are expected to act reasonably and fairly towards each other, and to treat the processes with respect.
- 15.9 Appellants will not be disadvantaged as a result of bringing an academic appeal.

Grounds for an Appeal

- 15.10 A candidate registered for a postgraduate research degree has the right to appeal against a decision made at any of the three key assessment points:
 - (a) assessment of the research proposal;
 - (b) upgrade/confirmation of registration;
 - (c) examination of the thesis.

- 15.11 In addition candidates may also appeal against decisions made relating to:
- (a) the decision that there is no *prima facie* case for the award of a PhD by Published Work;
 - (b) discontinuation due to lack of academic progress.
- 15.12 A candidate may appeal against the outcome of assessment for any taught module delivered as a constituent element of a Professional Doctorate programme by using the procedure in Section 9 of the *Academic Regulations* (www.anglia.ac.uk/academicregs).
- 15.13 Any appeal must be based on either or both of the following grounds:
- (a) that performance was adversely affected by illness or other factors which the candidate 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;
 - (b) 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 procedural irregularity has occurred.
- 15.14 Candidates may not appeal on any ground which:
- (a) 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;
 - (b) claims that academic performance was adversely affected by ill health, where there is no medical evidence certified by a recognised medical practitioner or hospital consultant or other evidence deemed appropriate to support the application;
 - (c) disputes only the academic judgement concerning the candidate's performance in any academic work.
- 15.15 Given the existence of procedures for complaint and grievance, alleged inadequacy of supervisory or other arrangements during the period of study shall not constitute grounds for an appeal.

Submitting an Appeal

- 15.16 Candidates wishing to exercise a right of appeal must give notice in writing, using the appropriate proforma which is obtainable from www.anglia.ac.uk/appeals, to the Academic Registrar within 20 working days of the date of the written notification of the decision leading to the appeal.
- 15.17 International students for whom a discontinuation decision has been made and who are studying under a Tier 4 Visa are required to submit their academic appeal within ten working days of the date of the letter notifying them of the decision in order to avoid the withdrawal of the sponsorship of their Tier 4 Visa (in line with UKVI requirements). Students must then ensure they continue to sign in at the faculty office on a monthly basis. If the appeal is not submitted within these ten working days, such students should make arrangements to leave the UK but are entitled to submit their academic appeal within the standard 20 working days deadline.

- 15.18 Only in very exceptional circumstances and with the explicit agreement of the Chair of the Senate, acting on the advice of the Academic Registrar and/or the International Office, is an appeal outside the normal time limits considered.
- 15.19 A candidate wishing to appeal on grounds of illness is required to send to the Academic Registrar supporting documented medical evidence, explaining the reasons why the evidence was not originally presented.
- 15.20 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 Academic Registrar such documentary evidence as is appropriate to support the appeal. Such evidence must be sent to the Academic Registrar at the same time as the proforma is completed. The Academic Registrar will notify the Doctoral School, the candidate's Director of Research Students and their First Supervisor that an appeal has been submitted.
- 15.21 The Academic Registrar 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.

Initial scrutiny

- 15.22 The Academic Registrar acknowledges receipt of the formal notice of appeal. Two staff, from a pool of the Academic Registrar, Assistant Academic Registrar (Academic Governance), Head of the Quality Assurance Service and the Examinations and Academic Appeals Manager undertake an initial scrutiny of the appeal upon receipt by the Academic Registry. The Academic Registrar **dismisses the appeal** without further action where:
- (a) the criteria for grounds for an academic appeal are not satisfied;
 - (b) there is either no evidence provided to support the appeal, or that such evidence is clearly not timely.
- 15.23 All other appeals which satisfy the grounds for an academic appeal and for which timely and appropriate evidence has been provided are progressed to the informal resolution stage at Faculty level.
- 15.24 The Academic Registrar notifies an appellant of the outcome of an appeal dismissed under Regulation 15.22 in writing. This notification includes an explanation for why the appeal has been dismissed and confirms which staff undertook the initial scrutiny. The notification also informs the appellant that he/she can request a review of the decision to dismiss the appeal. Such requests are made by the appellant in writing to the Academic Registrar within 10 working days of the date of the notification of the outcome.
- 15.25 On receipt of a request for a review of the decision to dismiss, the Academic Registrar appoints a Director of Research Students from a Faculty which is not associated with the appellant and their supervisory team to review the original decision within 10 working days of the request being made. At his/her discretion, the Director of Research Students may contact the student to discuss the appeal as part of the review.
- 15.26 If the outcome of the review supports the original decision made under Regulation 15.22, the Academic Registrar **dismisses the appeal** in writing within 10 working days of the review being concluded.
- 15.27 If the outcome of the review does not support the original decision made under Regulation 15.22, the appeal progresses to the Informal resolution stage at Faculty level.

Informal Resolution Stage at Faculty Level

- 15.28 All academic appeals which, following initial scrutiny by the Academic Registrar or review by a Director of Research Students, satisfy the grounds for an academic appeal are forwarded to the Director of Research Students in the relevant Faculty for informal resolution.
- 15.29 The Director of Research Students meets the appellant to discuss the appeal and to seek to resolve it at an informal level. This meeting must take place within 10 working days of the initial receipt of the notice of appeal by the Academic Registrar. The appellant may be accompanied at the meeting by a friend or Students' Union Adviser. A written record of the discussion is kept by the Director of Research Students and the outcome of the meeting is reported by the Director of Research Students to the Academic Registrar.
- 15.30 If the appellant does not attend the meeting, the Director of Research Students is not required to re-arrange.
- 15.31 The appellant may not request that their appeal move to the Panel stage unless they attend the informal resolution meeting.
- 15.32 If, following the conclusion of the informal resolution process, the appellant wishes to proceed with the appeal it moves to the Panel stage.
- 15.33 An appellant wishing to exercise the right to request that their appeal moves to the Panel stage is required to notify the Academic Registrar, in writing, within 15 working days of the informal resolution meeting with the Director of Research Students.

Appeals Panel Stage

- 15.34 The membership of the Appeals Panel comprises:
- two academic members of the RDC, one of whom acts as Chair. None may be members of the Faculty in which the appellant is registered nor have been associated with the appellant or their supervisory team in any way;
 - the Director or Deputy Director of the Doctoral School⁸;
 - a postgraduate research student, nominated by the President of the Students' Union, who may not come from the same Faculty as the appellant.
- 15.35 The Examinations and Academic Appeals Manager in the Academic Registry 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 Registry.
- 15.36 The following have the right to be present and to speak at sittings of the Appeals Panel:
- the Director of Research Students from 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.
- 15.37 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.

⁸ If both the Director and Deputy Director of the Doctoral School are subjects of the academic appeal in any way then, to avoid comprising the integrity of the process, a third academic member of the RDC is selected as a Panel member to replace the Director or Deputy Director of the Doctoral School.

15.38 Exceptionally, in the event of the unavoidable absence of a Panel member (e.g. due to illness), in order to reduce the inconvenience to the appellant, the Panel Hearing may proceed with three members provided that the appellant has no objections to proceeding with a three member Panel.

Procedure

15.39 On receiving the request from the Academic Registrar to convene an Appeals Panel, the Report Secretary to the Panel will, within 30 working days convene a meeting of the Appeals Panel. Prior to the panel meeting the Report Secretary will:

- (a) ascertain from the appellant whether s/he objects to the attendance of the President of the Students' Union at the Appeals Panel;
- (b) give notice to the appropriate Director of Research Students and the President of the Students' Union of the date, time and place of the meeting;
- (c) give 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 the appellant has a right to be heard at the hearing accompanied, if the appellant so wishes by a friend;
 - (iv) that in the appellant's unavoidable absence, the appellant may be represented by a proxy (who may be a member of the Students' Union) nominated ahead of the hearing by the appellant;
 - (v) that the appellant 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 the appellant is responsible for informing witnesses in support of the case of the details of the hearing of the Appeals Panel and for securing their attendance at the hearing;
 - (vii) that the appellant is responsible for informing the Report Secretary of the Appeals Panel as soon as possible of the names of witnesses being called and whether the appellant wishes to be accompanied by a friend (and if so the name of the friend).
- (d) provide members of the Appeals Panel, the appellant, the Director of Research Students and the President of the Students' Union (or elected representative) with copies of all relevant documentation.

Conduct of a Formal Hearing

15.40 Anglia Ruskin University reserves the right to involve such other individuals as it thinks appropriate to the presentation of the case.

15.41 Minutes are taken of all hearings. The minutes are kept by the Academic Registry.

15.42 The hearing is conducted in the following sequence:

- the appellant or 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 friend or representative of the Students' Union;
- final statement by the Director of Research Students.

15.43 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.

15.44 If the appellant does not appear at the hearing, the Appeals Panel may proceed to deal with the appeal in the appellant's absence provided the Panel is satisfied that the Secretary has properly notified the appellant of the hearing.

15.45 The Report Secretary will inform the appellant of the recommendation of the Panel within 10 working days.

Appeals Panel Decisions

15.46 The Appeals Panel sits in private and having heard the appeal decides:

- whether the appeal can be upheld;
- if so, the recommendation to make;
- if not, to dismiss the appeal.

Outcomes Available to the Panel

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

For cases involving material administrative error or irregularity

- refer the matter to the relevant university committee with an instruction to reconsider its decision in the light of the findings of the Appeals Panel. The normal expectation is that the committee acts accordingly. If the committee is not prepared to reconsider its original decision, a formal written statement with its reasons for not doing so, must be submitted to the Academic Registrar by the chair of the committee;

For cases involving Illness or Other Factors

- 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 Appeals Panel will refer the matter to the relevant university committee with an instruction to reconsider its decision. The normal expectation is that the committee will act accordingly. If the committee is not prepared to reconsider its original decision, a formal written statement of its reasons for not doing so must be submitted to the Academic Registrar by the chair of the committee;

For cases involving a recommendation by examiners at the viva-voce stage

If the Appeals Panel decides that a candidate has valid grounds for an appeal then one of the following recommendations is made to the next meeting of the PGRSPSC:

- that the candidate be given the opportunity to be examined as a first attempt. This may be with or without a viva voce examination;
- that the candidate be given the opportunity to resubmit. This may be with or without a viva voce examination.

The normal expectation is that the PGRSPSC acts accordingly. If the PGRSPSC is not prepared to reconsider its original decision, a formal written statement with the reasons for not doing so, must be submitted to the Academic Registrar by the Chair of the committee.

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.

15.48 The Report Secretary notifies the appellant of the Panel's recommendation within 10 working days. The Report Secretary forwards the report of the Panel to the PGRSPSC for consideration. The appellant is, at the earliest possible opportunity, notified by the Report Secretary of the PGRSPSC's decision.

15.49 A report of the Panel hearing is submitted to the RDC for information.

Office of the Independent Adjudicator

15.50 If an appellant is not satisfied with the outcome of the appeals process, the appellant may make representation to the Office of the Independent Adjudicator for Higher Education (OIA). For these purposes, the final communication to the appellant under Regulation 15.48 also serves as the 'Completion of Procedures Letter' required under OIA procedures.

SECTION A16

COMPLAINTS

- 16.1 Anglia Ruskin University has a formal Student Complaints Procedure which is published in the *Rules, Regulations and Procedures for Students* document published at:

http://web.anglia.ac.uk/onet/staff/sec_clerk/rul_regs.phtml.

- 16.2 Advice and guidance on the complaints process is also available at:

http://web.anglia.ac.uk/onet/staff/sec_clerk/feedback.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

- 1.1 Candidates must ensure they have all relevant copyright permissions before they submit their work for examination.

2. PRINCIPLES

The 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 are 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, Regulation 10.6 above).

Submission in English

- 2.7 Candidates must present and defend the submitted work in English unless the prior permission of the PGRSPSC 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 PGRSPSC may require a certified translation to be provided at the candidate's expense.

Period of Registration

- 2.8 The registration period for a PhD by published work is:

- minimum – 6 months;
- maximum – 18 months.

In exceptional and unforeseen circumstances a request for an extension to the period of registration may be considered by the Faculty Director of Research Students where evidence is submitted to support the request. The maximum period of extension which may be granted by the Faculty Director of Research Students is six months in total. No extensions of registration beyond six months will be permitted.

3. 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 a qualification which is regarded by the University as equivalent to such an honours degree;
- (b) hold any other appropriate equivalent qualification, other than those in Regulation 3.1 (a) above.

4. REGISTRATION STAGE

Application to Establish a *Prima Facie* Case

- 4.1 In order to establish a *prima facie* case the candidate shall submit an application which shall include the following:

- (a) A list of the published works on which the application for registration is based;
- (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 are 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;
- (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 Students, to include a minimum of four research active members of academic staff from the Faculty, two of whom will have supervised a PhD student to award, 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 to the Panel.
- 4.4 The Panel will consider:
 - (a) the application as detailed in Regulation 4.1 above;
 - (b) the registration status of the candidate;
 - (c) if appropriate supervision is likely to be available for the duration of the course;
 - (d) 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.

Researcher Development

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

5. APPOINTMENT AND ROLE OF THE SUPERVISOR(S)

- 5.1 Upon the establishment of a *prima facie* case, the Faculty will nominate a supervisor(s). The Supervisor(s) must meet the criteria for appointment outlined in Part A – Section 6. The role of the Supervisor(s) is to:
- (a) guide and support the candidate;
 - (b) comment on the appropriateness of the selected publications;
 - (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 PGRSPSC;
 - (f) where possible be present at the oral examination, subject to the agreement of the candidate.
- 5.2 The Supervisor is required to produce a report on the candidate's progress for consideration by the PGRSPSC six 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 supervisor(s) shall nominate at least two examiners, of whom at least one shall be an external to Anglia Ruskin University or any Associate College. Where more than two examiners are appointed, the majority are generally from outside Anglia Ruskin University or any Associate College. Where the candidate is a member of staff of Anglia Ruskin University or any Associate College 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).

Exclusion from Examining Teams

- 6.3 The candidate's Supervisor(s) cannot be appointed as an examiner and only in exceptional circumstances, and after approval 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 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

7.1 The candidate shall submit to the Research Degrees Examination Officer 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 title 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 and impact of their publications as indicated by any citations and/or 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 Regulation 4.1 above.

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).

8.2 Up to two members of the supervisory team and the Chair of the RDC may, with the consent of the candidate, attend the oral examination as observers, but shall withdraw prior to the deliberations of the examiners on the outcome of the examination.

8.3 The only other people who may attend the oral examination are those who are necessary for the Anglia Ruskin to discharge its obligations under the Equality Act 2010 and where this has been agreed in advance through the production of a Summary of Reasonable Adjustments (SoRA).

Assessment Criteria

8.4 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 their historical context;
- (h) assess the candidate's contribution to any multi-authored work submitted;
- (i) establish the candidate's 'ownership' of the published work and their knowledge of developments within their research area;
- (j) assess the candidate's ability to defend the submission at a viva-voce examination.

When assessing the above the examiners should also take into account the standing of the journals within the broader academic community.

8.5 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;
- constitutes an addition to subject knowledge.

Recommendations Available to the Examiners at First Examination

8.6 That the award be made.

8.7 That the award be made subject to minor amendments to the critical appraisal as agreed by the examiners in accordance with Part A, Regulations 12.28 - 12.30 above.

8.8 That the candidate be allowed to resubmit after major amendments which may require revisions to the critical appraisal and/or a different selection of published material. This resubmission must occur within 12 months of the examiners' feedback being sent to the candidate.

8.9 That the candidate be awarded an MPhil by Published work subject to the presentation of the critical appraisal amended to the satisfaction of the examiners. This resubmission must occur within 6 months of the examiners' feedback being sent to the candidate. To achieve the award of MPhil by Published Work the work must meet the criteria for the award of MPhil as set out in Part A, Regulation 1.7 above.

- 8.10 That the candidate is not awarded the degree and is not permitted to be re-examined (see Part A, Section 12 above).

Recommendations Available to the Examiners at Re-Examination

- 8.11 That the award be made.
- 8.12 That the award be made subject to minor amendments to the critical appraisal as agreed by the examiners in accordance with Part A, Regulations 12.28 - 12.30 above.
- 8.13 That the candidate be awarded an 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 Part A, Regulation 1.7 above.
- 8.14 That the candidate is not awarded the degree and is not permitted to be re-examined (see Part A, Section 12 above).

Conferment of the Award

- 8.15 The PGRSPSC (or the Chair acting on behalf of the Subcommittee) shall receive the recommendation of the examiners and shall, if appropriate, endorse it. The power to confer the award shall rest with the PGRSPSC acting on behalf of authority delegated by the Senate.
- 8.16 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 Part A, Regulations 12.49-12.51 above for further information.
- 8.17 Following the conferment of the award the candidate is invited by the Academic Registry's Assessment Service to attend a graduation ceremony.

PART C (a)

[for students recruited to Professional Doctorates operating under the Regulations approved by Senate in June 2016]

**Specific Regulations for the Awards of:
Postgraduate Diploma in Professional Research
Professional Master's
Professional Doctorate**

The Research Degrees Regulations apply equally to Postgraduate Diploma in Professional Research, Professional Master's and Professional Doctorate candidates. The specific additional requirements for these awards are set out below.

1. ENTRY REQUIREMENTS

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

- (a) 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

- (b) have appropriate professional experience.

1.2 Any DProf programme that wishes to propose that the minimum entry requirement must be a Master's degree, in an appropriate cognate area awarded by a UK University or an overseas Master's degree of equivalent standard is required to submit a case to RDC for consideration.

1.3 An applicant who does not have appropriate research methods knowledge will be required to pass a programme of researcher development identified by the Programme Director, prior to registering.

1.4 Applicants who have been awarded the Postgraduate Diploma in Professional Research may seek admission, within a period of five years of gaining that award, for entry onto the Professional Master's or Professional Doctorate.

1.5 Anglia Ruskin University is not responsible for finding work placements for candidates registered on the Professional Doctorate, Professional Master's or Postgraduate Diploma in Professional Research. Applicants must, therefore, have access to relevant employment or practice.

2. NON-STANDARD ENTRY REQUIREMENTS

2.1 Applicants holding qualifications other than those in Regulation 1.1 above 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.

3. ENGLISH LANGUAGE COMPETENCE

3.1 Where English is not an applicant's first language, they must demonstrate evidence of English language ability by holding an IELTS score of 6.5 (or equivalent) and have achieved a minimum of English language competence of at least IELTS 5.5 (or equivalent) across all four disciplines – writing, reading, speaking and listening.

- 3.2 These minimum requirements may be supplemented by additional requirements as determined by individual Faculties. This may include a requirement to complete Anglia Ruskin University's Postgraduate English Support Programme.

4. PERIODS OF REGISTRATION

- 4.1 The minimum and maximum periods of registration are calculated from the initial date of registration. Entry onto the Write 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>	<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 Master's		
<i>Part-time</i>	30 months	48 months
<i>Part-time (following full-time taught stage)</i>	26 months	36 months
Professional Doctorate		
<i>Part-time</i>	36 months	72 months
<i>Part-time (following full-time taught stage)</i>	32 months	60 months

Shortening the Period of Registration

- 4.2 Where the candidate is ready to submit their thesis before they have reached the minimum registration point, they should apply to the relevant Faculty Director of Research Students for 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

- 4.3 A candidate is expected to submit their thesis before the expiry of the maximum period of registration. The Faculty Director of Research Students may extend a candidate's period of registration where evidence is submitted to support the request, normally for not more than 6 months at a time, up to a maximum of 12 months.
- 4.4 Only in exceptional and unforeseen circumstances will a further and final period of 6 months be permitted.
- 4.5 In all such cases an application must be accompanied by an action plan demonstrating how the extension will enable the successful completion of the thesis. This action plan must be agreed with the First Supervisor. In making a decision the Faculty Director of Research Students will take into account the progress made by the candidate and any previous requests for intermission or extensions.

Transferring Course

- 4.6 A candidate who wishes to transfer their registration from one postgraduate research course to another (e.g. from PhD to a professional doctorate) must seek the written support of their First Supervisor, Professional Doctorate Programme Director or other relevant Faculty staff, before applying to the Faculty Director of Research Students for approval. The relevant form can be obtained from the appropriate faculty administrator.

5. ATTENDANCE AT WORKSHOPS

- 5.1 Candidates are expected to attend all workshops designed for the Postgraduate Diploma in Professional Research / Professional Master's / Professional Doctorate programmes.
- 5.2 Candidates are also required to attend the compulsory three-stage University-wide Researcher Development Programme.
- 5.3 Candidates are strongly encouraged to attend the annual Research Student Conference.
- 5.4 Candidates are encouraged to take advantage of the further training offered through the Doctoral School, 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. NATURE OF THE PROGRAMME

- 6.1 Professional doctorates are credit rated and modular, and offer professionally relevant and practice-based learning and research.
- 6.2 Professional doctorates are named awards linked to disciplinary areas (e.g. Professional Doctorate in Health and Social Care).
- 6.3 Completion of a professional doctorate will require the award of 540 credits, of which:
- a minimum of 60 credits, and a maximum of 180, will be at Level 7;
 - a minimum of 30 level 7 credits will be devoted to advanced research methods;
 - a minimum of 30 level 7 credits will be devoted to advanced professional practice;
 - a minimum of 360 credits will be at Level 8.
- 6.4 The level 8 credits are notional only. The thesis is governed by the Research Degrees Regulations.
- 6.5 All professional doctorates will include a research thesis. The outcome of the research will be presented as a written thesis, portfolio etc. and may include other material such as a performance or presentation supported by a written commentary.
- 6.6 The taught elements of a professional doctorate programme will draw on a variety of teaching and learning methods appropriate to the discipline. The pattern of contact hours within a module may also vary according to the subject area covered by the professional doctorate.
- 6.7 An applicant may seek admission to study for any of the following awards:
- (a) Postgraduate Diploma in Professional Research;
 - (b) Professional Master's;
 - (c) Professional Doctorate.

- 6.8 The taught stage of the professional doctorate may be studied on a full-time basis where this has been validated.
- 6.9 Accreditation of prior certified and/or experiential learning can be claimed against the taught modules only. The maximum prior certificated and/or experiential credit that can be claimed is two-thirds of the taught component. Students should refer to our University policy regarding prior learning for details of the procedure.
- 6.10 For those professional doctorates accredited by professional bodies or associations, students must hold qualifications recognised by the professional body or association as providing eligibility for entry on to the programme and may have to provide evidence of either relevant clinical experience or have secured a suitable placement.
- 6.11 To qualify for the award of Professional Master's or Professional Doctorate a candidate must submit and defend a thesis to the satisfaction of the examiners **and** pass all taught modules of the programme.
- 6.12 Any student leaving the programme before they gain their intended degree will be given the relevant intermediate award.
- 6.13 Examiners for the research thesis module will be appointed for each student individually, rather than for a cohort, though it is recognised that there will be occasions where the same examiner will be appropriate for more than one student. However, our university will ensure that the same external examiner is not approved so frequently that his/her familiarity with the programme team might prejudice objective judgement.

7. THE TAUGHT STAGE

- 7.1 Assessment of the Level 7 modules of a professional doctorate will be undertaken in accordance with the *Academic Regulations* (www.anglia.ac.uk/academicregs).
- 7.2 External examiners for the Level 7 modules of a professional doctorate will be appointed in accordance with our University's procedures for appointing external examiners for taught provision (see the *Senate Code of Practice on External Examiners for Taught Courses* at www.anglia.ac.uk/codes).
- 7.3 All modular assessments within the professional doctorate are subject to the University's policies on marking and moderation (see the *Senate Code of Practice on the Assessment of Students* at www.anglia.ac.uk/codes).

8. UPGRADE/CONFIRMATION OF REGISTRATION

- 8.1 Assessment of a candidate's research ability to determine whether registration for the professional doctorate can continue is determined through the confirmation of registration process.
- 8.2 MProf and professional doctorate candidates are required to apply for upgrade/confirmation of registration between 9-18 months after completing the taught part of their studies.

9. THE RESEARCH THESIS

- 9.1 The notional credits at level 8 is that part of the professional doctorate devoted to conducting research and the production of the thesis for viva. The research thesis for the MProf is assessed against level 7 criteria.

- 9.2 The research thesis is governed by the Research Degrees Regulations.
- 9.3 The assessment for this stage will include a viva voce examination.
- 9.4 Research may be proposed in any topic appropriate to the overall subject matter of the professional doctorate provided that:
- (a) appropriate supervision expertise is available to support the proposed project;
 - (b) an environment exists to support high quality research at doctorate level;
 - (c) appropriate examiners can be identified.
- 9.5 The research thesis will normally be the last stage of the course to be taken but courses can be structured where this runs concurrently with the taught modules. The sequence of study will be specified and agreed at approval.
- 9.6 The Professional Master's 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.
- 9.7 The Professional Doctorate thesis should display appropriate evidence of originality and independent critical judgment, constitute a contribution to professional practice and exhibit development of professional competencies.

Professional Master's (Level 7)

- 9.8 Successful candidates for the award of MProf will be expected to demonstrate:
- A systematic acquisition and critical understanding of knowledge, that is mostly at the forefront of the academic discipline and area of professional practice;
 - The ability to reflect on and examine critically their own professional activity;
 - The ability to conduct research in accordance with academic and professional ethical standards;
 - A comprehensive and critical understanding of techniques and/or methodologies applicable to practitioner research;
 - A critical and contextually appropriate application of techniques for original research, effective communication, critical and independent reasoning appropriate to advanced academic enquiry;
 - Originality in the application of knowledge or methodology in the discipline and/or area of professional practice;
 - The ability to conceptualise understanding so as to evaluate critically current research in the discipline and area of professional practice;
 - 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;
 - The ability to communicate findings clearly and effectively.

Professional Doctorate (Level 8)

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

- 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;
- The ability to reflect on and examine critically their own professional activity;
- The ability to conduct research in accordance with academic and professional ethical standards;
- 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;
- 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;
- 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;
- A critical and contextually appropriate application of techniques for original research, effective communication, critical and independent reasoning appropriate to advanced academic enquiry;
- 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.

PART C (b)

[for students recruited to Professional Doctorates operating under the Regulations approved by Senate prior to June 2016]

**Specific Regulations for the Awards of:
Postgraduate Diploma in Professional Research
Professional Master's
Professional Doctorate**

The Research Degrees Regulations apply equally to Postgraduate Diploma in Professional Research, Professional Master's and Professional Doctorate candidates. The specific additional requirements for these 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:

- (a) Postgraduate Diploma in Professional Research;
- (b) Professional Master's;
- (c) 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:

- (a) 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

- (b) have appropriate professional experience.

1.3 Any DProf programme that wishes to propose that the minimum entry requirement must be a Master's degree, in an appropriate cognate area awarded by a UK University or an overseas Master's degree of equivalent standard will be required to submit a case to the RDC 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 Master's or Professional Doctorate.

1.5 Anglia Ruskin University is not responsible for finding work placements for candidates registered on the Professional Doctorate, Professional Master's and Postgraduate Diploma in Professional Research. Candidates entering Stage 2 of the Professional Doctorate and Professional Master's programmes must, therefore, have access to employment or practice.

2. NON-STANDARD ENTRY REQUIREMENTS

2.1 Applicants holding qualifications other than those in Regulation 1.2 above 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, they must demonstrate evidence of English language ability by holding an IELTS score of 6.5 (or equivalent) and have achieved a minimum of English language competence of at least IELTS 5.5 (or equivalent) 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 Master's 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 Master's		
<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 the candidate is ready to submit their thesis before they have reached the minimum registration point they should apply to the relevant Faculty Director of Research Students for 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

- 4.3 A candidate is expected to submit their thesis before the expiry of the maximum period of registration. The Faculty Director of Research Students may extend a candidate's period of registration where evidence is submitted to support the request, normally for not more than 6 months at a time up to a maximum of 12 months.

- 4.4 Only in exceptional and unforeseen circumstances will a further and final period of 6 months be permitted.
- 4.5 In all such cases an application must be accompanied by an action plan demonstrating how the extension will enable the successful completion of the thesis. This action plan must be agreed with the First Supervisor. In making a decision the Faculty Director of Research Students will take into account the progress made by the candidate and any previous requests for intermission or extensions.

Transferring Course

- 4.6 A candidate who wishes to transfer their registration from one postgraduate research course to another (e.g. from PhD to a professional doctorate) must seek the written support of their First Supervisor, Professional Doctorate Programme Director or other relevant Faculty staff, before applying to the Faculty Director of Research Students for approval. The relevant form can be obtained from the appropriate faculty administrator.

5. ATTENDANCE AT WORKSHOPS

- 5.1 Candidates are expected to attend all workshops designed for the Postgraduate Diploma in Professional Research / Professional Master's / 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 research degree candidates must either attend Introduction to Research Ethics and Integrity (in Human Research) training offered by the Doctoral School or pass the online Epigeum course Ethics 1 – Good Research Practice. A copy of the relevant training certificate must be provided to the Researcher Development Programme Administrator in the Doctoral School. For the online training, a copy of the relevant training certificate must be provided to the Researcher Development Programme Administrator in the Doctoral School.
- 5.4 All research degree candidates whose research proposal requires ethical approval (e.g. falls into the yellow, red or purple 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. With regards to the online training, a copy of the relevant training certificate must be provided to the Researcher Development Programme Administrator in the Doctoral School.
- 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 the Doctoral School, HR Services and the Faculties. In addition, candidates are advised to take advantage of national training events and training opportunities external to the 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 Master's 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 PGRSPSC will normally terminate the candidate's registration.

Criteria for Appointment as an External Moderator

- 6.7 External moderators should:
- (a) hold a doctoral level qualification or have equivalent professional and/or academic recognition;
 - (b) normally have experience in the assessment of Professional Doctorate or similar programmes or equivalent experience;
 - (c) have knowledge of the broad subject area that they will be moderating;
 - (d) 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:
- (a) 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;

- (b) compare the performance of students with that of their peers studying for comparable awards;
- (c) 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;
- (d) 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;
- (e) see all papers for at least the first 10 candidates of a new Professional Doctorate programme (see Regulation 6.3 above);
- (f) ensure that the assessments are conducted in accordance with the approved regulations;
- (g) report back annually to the PGRSPSC 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.

6.11 In addition, external moderators have the right to:

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

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

7. CONFIRMATION OF REGISTRATION AS A CANDIDATE FOR PROFESSIONAL DOCTORATE

- 7.1 Assessment of a candidate's research ability to determine whether registration for the professional doctorate can continue is determined through the confirmation of registration process (see Section 8 of these Regulations).
- 7.2 MProf candidates are required to apply for upgrade of registration to professional doctorate no later than three years after starting their programme for part-time candidates and no later than two years after starting their programme for part-time candidates studying the taught stage on a full-time basis.
- 7.3 Professional doctorate candidates are required to apply for confirmation of registration no later than three years after starting their programme for part-time candidates and no later

than two years after starting their programme for part-time candidates studying the taught stage on a full-time basis.

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 Regulation 6.3 above. 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 Master's

- 8.2 All candidates for the award of a Professional Master's 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 Master's candidates are required to achieve a pass in each of the written papers totalling 21,000 words (as outlined in Regulation 8.1 above) 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 Master's should normally not exceed 15,000 words.
- 8.6 The Professional Master's thesis should display appropriate evidence of:
- (a) originality and independent critical judgement and;
 - (b) 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 Regulation 8.1 above) 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:
- (a) originality and independent critical judgment and;
 - (b) constitute a contribution to professional practice and;
 - (c) exhibit development of professional competencies.

9. STAGE 1 PAPERS IN THE THESIS

Professional Doctorates

- 9.1 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 Master's

- 9.2 Candidates for Professional Master's 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 Master's 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.

10. ASSESSMENT CRITERIA

Postgraduate Diploma in Professional Research (Level 7)

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

- a systematic acquisition and critical understanding of knowledge, that is mostly at the forefront of the academic discipline and area of professional practice;
- the ability to reflect on and examine critically their own professional activity;
- the ability to conduct research in accordance with academic and professional ethical standards;
- an understanding of techniques and/or methodologies applicable to practitioner research;
- the ability to design a research project that is capable of generating new knowledge and understanding of professional practice;
- the ability to conceptualise understanding so as to evaluate critically current research in the discipline and area of professional practice;
- 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;
- the ability to communicate findings clearly and effectively.

Professional Master's (Level 7)

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

- a systematic acquisition and critical understanding of knowledge, that is mostly at the forefront of the academic discipline and area of professional practice;
- the ability to reflect on and examine critically their own professional activity;
- the ability to conduct research in accordance with academic and professional ethical standards;
- a comprehensive and critical understanding of techniques and/or methodologies applicable to practitioner research;
- a critical and contextually appropriate application of techniques for original research, effective communication, critical and independent reasoning appropriate to advanced academic enquiry;
- originality in the application of knowledge or methodology in the discipline and/or area of professional practice;
- the ability to conceptualise understanding so as to evaluate critically current research in the discipline and area of professional practice;
- 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;
- the ability to communicate findings clearly and effectively.

Professional Doctorate (Level 8)

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

- 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;
- the ability to reflect on and examine critically their own professional activity;
- the ability to conduct research in accordance with academic and professional ethical standards;
- 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;
- 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;
- 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;
- a critical and contextually appropriate application of techniques for original research, effective communication, critical and independent reasoning appropriate to advanced academic enquiry;
- 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;
- the ability to communicate findings clearly and effectively.

11. CONFERMENT OF AWARDS AS INTERMEDIATE AWARDS

11.1 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.

11.2 Certificates for the Postgraduate Diploma in Professional Research and for the Professional Master's 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 Master's and from the Professional Master's 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 is 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 RDC 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 RDC, 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:
 - (a) 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;
 - (b) the award for which the submission is made;
 - (c) 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;
 - (d) a curriculum vitae;
 - (e) 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 & Innovation) for guidance on the standards required, and the process to be followed.

4. ASSESSMENT

- 4.1 The assessment of the application is undertaken as follows:

- 4.1.1 The Secretary to the Senate shall establish a Higher Doctorate Degrees Panel, as a Subcommittee of the RDC, to determine whether a *prima facie* case has been established. This Panel will comprise:

- (a) A Deputy Vice-Chancellor (Chair);
- (b) Chair (or nominee), RDC;
- (c) Deputy Vice-Chancellor (Research & Innovation);
- (d) A senior member of academic staff pertinent to the area in question.

The Panel may seek advice from within and outside Anglia Ruskin University. The Panel is serviced by the Secretary of the RDC

- 4.1.2 If the Panel is satisfied that a *prima facie* case has been established, the evidence is submitted normally to two independent examiners of appropriate standing external to Anglia Ruskin University, nominated by the Higher Doctorate Degrees Panel and approved by a full meeting of the RDC. 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 the 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 Regulation 3.4 (e) above;
- (c) where relevant, a copy of other published or unpublished works cited in accordance with the provisions of Regulation 3.4 (e) above.

- 4.1.4 The Higher Doctorate Degrees Panel will determine whether or not a viva voce examination is required, comprising the two external examiners and a chair appointed by the RDC.

- 4.1.5 Examiners' recommendations are considered by the RDC prior to submission to the Senate for ratification. Examiners may recommend the award, resubmission or not award. In the case of resubmission, written guidance on the deficiencies of the first submission must be provided. In the case of not award, a full statement of the reasons for this recommendation must be provided.

- 4.2 There is 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. This application will be considered on its own merit afresh. In such a situation, the same examiners should not be used again.
- 4.4 A copy of the successful application will be lodged in Anglia Ruskin's on-line repository. The candidate may request that any confidential or unpublished work remains classified for a period of two years.

5. FEES

- 5.1 An initial application fee is paid to cover preliminary enquiries.
- 5.2 An examination fee is 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 this award are set out below.

1. ENTRY REQUIREMENTS

- 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 registerable 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 Anglia Ruskin 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

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

3. TIMESCALES FOR COMPLETION

- 3.1 The timescales for completion are as follows:

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

- 3.2 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 First Supervisor(s) is obtained. Candidates are required to devote the whole of their time as a full-time candidate to the degree and to attend our University at all appropriate times.
- 3.3 For part-time study, candidates are permitted to perform their normal clinical duties and continuing professional education but are required to attend the compulsory elements of the University Researcher Development Programme, and any advised Faculty researcher development activity.

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 is determined through the confirmation of registration process.

For students starting their programme in September 2015 onwards:

MD (Res) candidates are required to apply for confirmation of their registration between 9-18 months after starting their programme for full-time and between 15-24 months for part-time candidates.

For students starting their programme prior to September 2015:

MD (Res) candidates are required to apply for confirmation of registration normally no later than one year after starting their programme for full-time candidates and no later than two years after starting their programme for part-time candidates.

- 5.2 For confirmation of registration one of the panel members must be an appropriately qualified medical practitioner.

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 Requirements for studies that fall under the Medical Devices Regulations, 2002 or Medicines for Human Use (Clinical Trials) Regulations (2004), as amended, should have been taken into account in the planning stages of the research; approval from the Medicines and Healthcare products Regulatory Agency (MHRA) is required and specialised legal or other external expertise to ensure compliance with this legislation is essential. Any other approvals required (e.g. NHS) must be obtained.

- 6.3 Studies that fall under the Human Tissue Act (2004)⁹ which are within the remit of Anglia Ruskin University's research licence from the Human Tissue Authority can be reviewed by the appropriate Faculty's Research Ethics Panel. If studies do not fall under the terms of our licence from the Human Tissue Authority, they can only be reviewed by an NHS Research Ethics committee.

- 6.4 Candidates must ensure that if their research falls under the Mental Capacity Act (2005)¹⁰ it is reviewed by an NHS REC or the Social Care Research Ethics Committee: university ethics committees cannot legally review research that falls under the Mental Capacity Act (2005). For further details, please visit:

<https://www.hra.nhs.uk/planning-and-improving-research/policies-standards-legislation/mental-capacity-act/>

- 6.5 For exemption from our University's compulsory research ethics training, MD (Res) students must provide evidence of an up-to-date ICH-Good Clinical Practice training record. A copy of

⁹ The Human Tissue Act (2004) covers England, Wales and Northern Ireland. There is a Human Tissue (Scotland) Act 2006

¹⁰ The Mental Capacity Act (2005) covers England and Wales. In Scotland, the inclusion of adults lacking capacity in research is governed by the provisions of Section 51 of the Adults with Incapacity (Scotland) Act 2000. In Northern Ireland, it is currently governed by common law

the training record must be provided to the Researcher Development Programme Administrator in the Doctoral School.

6.6 The thesis shall:

- (a) consist of the candidate's own account of his/her investigations;
- (b) 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;
- (c) be an integrated whole and present a coherent argument;
- (d) 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;
- (e) 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;
- (f) include a full bibliography and references;
- (g) demonstrate research skills relevant to the thesis being presented, and;
- (h) 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).

6.7 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.

ANNEXES

ANNEX 1

Useful Publications

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 Stage 1 Research Ethics Application Form
Question Specific Advice for Stage 2 Research Ethics Application Form
Question Specific Advice for Stage 3 Research Ethics Application Form

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 Doctoral School

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

Progress Platform training guides for students, supervisors and administrators

Available from Student Services

Student Charter

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 2

Guidance for the Thesis Abstract and Title Page

Abstract

Name of University →

Abstract →

Faculty →

Degree for which the thesis →
is submitted

Title of thesis →

Full name of author →

Month and year of submission →

Text of abstract →

ANGLIA RUSKIN UNIVERSITY

ABSTRACT

FACULTY OF ARTS, HUMANITIES
AND SOCIAL SCIENCES

DOCTOR OF PHILOSOPHY

THE ROLE OF MUSIQUE CONCRÈTE IN THE
EMERGENCE OF NEW MUSIC TECHNOLOGY
IN POST-1945 EUROPE

ELDON FENTON

November 2018

(Guidance notes: The Abstract text should be single line spaced and, unless the PGRSPSC has granted exemption, in Arial 11 or Times New Roman 12 font. 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)

Key words: (Guidance note: Insert up to 10 key words)

Title Page

<p>ANGLIA RUSKIN UNIVERSITY</p> <p>FACULTY OF ARTS, HUMANITIES AND SOCIAL SCIENCES</p> <p>THE ROLE OF MUSIQUE CONCRÈTE IN THE EMERGENCE OF NEW MUSIC TECHNOLOGY IN POST- 1945 EUROPE</p> <p>ELDON FENTON</p> <p>A thesis in partial fulfilment of the requirements of Anglia Ruskin University for the degree of ... (A)</p> <p>This research programme was carried out in collaboration with the Sound and Vision Reference Service of The British Library</p> <p>(B)</p> <p>Submitted: November 2018</p>
--

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



Anglia Ruskin
University

Additional copies of the Research Degrees Regulations are available from:

Academic Registrar
Anglia Ruskin University
Bishop Hall Lane
Chelmsford
CM1 1SQ

Tel: 01245 684931

anglia.ac.uk/researchregs