

MARKFIELD INSTITUTE OF HIGHER EDUCATION

RESEARCH DEGREES

A HANDBOOK OF

REGULATIONS AND PROCEDURES

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RESEARCH DEGREES AT MIHE
A HANDBOOK OF REGULATIONS AND PROCEDURES

This handbook contains regulations and procedures relating to all research degrees - Master of Philosophy (MPhil) and Doctor of Philosophy (PhD)- offered at the Markfield Institute of Higher Education validated by the University of Gloucestershire. The Handbook in line with the University of Gloucestershire Research Handbook is revised on a regular basis and you should ensure that you are using the most up to date version, particularly when preparing a thesis for submission.

If you have any questions relating to these regulations or to research degree programmes in general, please do not hesitate to contact postgraduate research office at the Institute.

June 2009

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PART ONE: REGULATIONS RELATING TO RESEARCH DEGREES

1 PRINCIPLES

- 1.1 The Master of Philosophy (MPhil) may be awarded to a candidate who has successfully completed a programme of scholarly research and whose thesis represents an independent, significant contribution to knowledge. The thesis should demonstrate the investigation and evaluation or critical examination of an approved topic over a period normally of not less than 18 months of full-time study, or equivalent period of part-time study, together with an understanding of research methods appropriate to the chosen field. The candidate must present a thesis and defend it by oral examination, or approved alternative examination, to the satisfaction of the examiners.
- 1.2 The Doctor of Philosophy (PhD) may be awarded to a candidate who has successfully completed a programme of scholarly research and whose thesis represents an independent, significant and original contribution to knowledge, or who has completed an integrated programme of study comprising advanced instruction as well as scholarly research demonstrated by thesis. The thesis should demonstrate the investigation and evaluation or critical examination of an approved topic over a period normally of not less than 36 months of full-time study, or equivalent period of part-time study, together with an understanding of research methods appropriate to the chosen field. The candidate must present a thesis and defend it by oral examination, or approved alternative examination, to the satisfaction of the examiners. The work, or elements of it should be worthy of publication, or may included a proportion of published work.

2 REGISTRATION

- 2.1 The Institute Academic Board shall delegate its powers to the Institute Research Degrees Committee (RDC) to approve registration, supervision and examination arrangements of research students.

2.2 *A person may apply to register for a programme leading to:*

- a. Master of Philosophy;
- b. Master of Philosophy with possibility of transfer to Doctor of Philosophy;
- c. Doctor of Philosophy;

Students registered for any of these programmes shall be known as Research Students.

- 2.3 An applicant for registration for a research Master's degree shall normally hold a first class or upper class Honours degree or a qualification that is regarded by the Institute as equivalent to such an Honours degree.
- 2.4 An applicant for direct registration for Doctor of Philosophy shall normally hold a Master's degree in a discipline that is relevant to the proposed research.

- 2.5 An applicant for Professional Doctorate shall normally hold a Master's degree in a cognate area, or a Bachelor's degree in a cognate area plus at least two year's professional practice, or be capable of otherwise demonstrating professional competence of high standing in the area of the research.
- 2.6 The Institute Research Degrees Committee (RDC) shall not approve an application unless satisfied that:
- a. The candidate is suitably qualified;
 - b. The candidate is embarking upon a feasible research programme;
 - c. Supervision is adequate and likely to be sustained; and
 - d. The Institute is able to provide appropriate facilities and research environment for the conduct of scholarly research in the area of the research programme
- 2.7 Registration may be backdated by up to 12 months from the date of Committee approval of the registration. Longer periods of backdating may be permitted exceptionally. Registration cannot be backdated to a date prior to initial enrolment for a research degree.
- 2.8 Candidates may register on a full-time or part-time basis.
- 2.9 The RDC shall satisfy itself that before registering the candidate regarding whether the candidate has sufficient command of the English language to complete the programme of work satisfactorily and to prepare and defend a thesis in English.
- 2.10 Where there is a requirement for the thesis to remain confidential for a period of time after completion of the work, application for approval shall normally be made at the time of registration. In cases where the need for confidentiality emerges at a subsequent stage, the application for the thesis to remain confidential after submission shall be made at the same time as approval is sought for examination arrangements. The period approved shall normally not exceed two years from the date of the oral examination.
- 2.11 The RDC may approve an application from a person proposing to work largely outside the UK, provided that the following criteria are met:
- a. There is satisfactory evidence of the support and facilities available for the research both in the Institute and abroad, for example through the designation of an appropriate collaborating Higher Education Institute outside the UK.
 - b. The supervisory arrangements enable frequent and substantial contact between the candidate and the first or second supervisor;
 - c. There must be sufficiently frequent personal contact between the student and first supervisor for the first supervisor to have continuing confidence in the candidate's progress.

- 2.12 A candidate may not be permitted to count the same period of registration both for the degree of MPhil, and for the degree of PhD or Professional Doctorate, nor to be registered simultaneously for a taught Master's degree and a research degree.

3 RESEARCH METHODS

Those candidates who do not already possess a Master's degree which included relevant research methods training at an advanced level shall normally be required to complete satisfactorily the two research degree modules, Philosophy and History of Research and Methods and Methodologies at the university of Gloucestershire or the research training offered at the Institute. These programmes offer the candidate both generic and specific skills and knowledge necessary for the pursuit of the proposed research.

4 THE REGISTRATION PERIOD

- 4.1 The minimum and maximum periods of registration shall normally be as follows:

Degree	Minima	Maxima
MPhil		
Full-time	18 months	36 months
Part-time	30 months	60 months
PhD (via transfer from MPhil and including that period of MPhil registration)		
Full-time	36 months	48 months
Part-time	48 months	84 months
PhD (direct)		
Full-time	30 months	48 months
Part-time	48 months	84 months
Professional Doctorate		
Full-time	30 months	48 months
Part-time	48 months	84 months

- 4.2 Where a candidate applies to change from full-time to part-time study or vice versa, the minimum and maximum registration periods shall be calculated on a pro rata basis. One month of full-time study will be counted as 2 months of part-time study.

- 4.3 Where the submission consists of pre-published material accompanied by a critical reflection and commentary on the submitted publications and their contribution to knowledge and research methods appropriate to the discipline, the period of registration may be shortened. The registration period must not be less than 12 months full-time and 24 months part-time study.
- 4.4 Where a candidate is prevented, by ill-health or other good cause, from making progress with the research, she/he may apply to de-register for a specified period, normally for not less than 3 months and for not more than one year at a time.
- 4.5 A candidate shall submit the thesis to the Institute Research Office (IRO) before the expiry of the maximum period of registration.
- 4.6 The RDC may be exceptionally extend the period of registration beyond the maximum period, normally for no more than one year at a time.
- 4.7 The RDC may exceptionally shorten the minimum period of registration to permit submission where the research has proceeded particularly well.
- 4.8 A candidate must pay such fees as shall be determined by the Institute.

5 SUPERVISION

- 5.1 For each research degree candidate the Institute shall approve the appointment of a supervisory team. One supervisor, who must be a member of Institute staff, shall be designated the first supervisor and the other(s) the second supervisor(s). A second supervisor may be external to the Institute. The first supervisor shall have responsibility for supervising the candidate on a regular and frequent basis. There must be sufficiently frequent contact between the student and first supervisor to enable the first supervisor to assess and confirm the candidate's progress. For UK resident students this will normally involve meeting face-to-face with the candidate at least once per term.
- 5.2 The supervisory team must have combined experience of supervising to successful completion at least two candidates for research degrees. In the case of a Doctoral candidate, one of the supervisors must have successfully supervised at Doctoral level.
- 5.3 All supervisors must commit to ongoing professional development. Supervisors deemed experienced must update their skills at least every three years and more frequently when required. Members of staff new to supervision or new to supervision in the Institute must have attended the three core sessions of the Supervisor's Support Programme before The can confirm them as supervisors at the approval of registration.

6 PROGRESS OF THE RESEARCH (including Transfer from Master to Doctor of Philosophy)

- 6.1 Ultimate responsibility for progress on the research degree programme resides with the candidate who must ensure that satisfactory progress is made at all times.
- 6.2 A candidate registered initially for MPhil with possibility of transfer to PhD who wishes to transfer to PhD may apply for a transfer when the supervisory team has deemed that she/he has made sufficient progress on the research to provide evidence of its potential development to PhD standard.
- 6.3 A candidate who is registered for any higher award and who is unable to complete the approved programme of work may, at any time prior to the submission of the thesis for examination, apply to the for registration to convert to an appropriate lower award, provided that the registration period for the lower award has not been exceeded.

7 PLAGIARISM

- 7.1 The thesis must be the candidate's own original and independent work and must not include plagiarised material.
- 7.2 Words, phrases and passages taken verbatim or closely paraphrased from other authors must be clearly identified as quotation or paraphrases, and the sources of the material must be fully acknowledged.
- 7.3 Other intellectual property such as illustrations, designs, computer software, and so on produced by others must be clearly identified and fully acknowledged.
- 7.4 The use of the work of others must not be of such a volume or importance to the thesis as to compromise its originality.
- 7.5 A signed declaration must be bound into the thesis stating how far the work contained in the thesis was the candidate's own work, or how far it was undertaken in collaboration with, or with the assistance of, others.
- 7.6 A signed declaration must be bound into the thesis stating how far the work contained in the thesis was the candidate's own work, or how far it was undertaken in collaboration with, or with the assistance of, others.

- 7.7 Any case, or suspected case of plagiarism, fraud or other cheating must be reported immediately to the Institute Research Degrees Committee (RDC). An interview panel to be chaired by Head of Research should include supervisor (s) of the candidate concerned. The interview panel shall include at least two and not more than four other members of the academic staff. No member of the interview panel shall be involved in the consideration of a case in which she/he has an interest. The candidate may be accompanied by a friend, advisor or other representative.
- 7.8 The interview panel will submit a report to the Institute Research Degrees Committee (RDC) , indicating the nature of the misconduct, a summary of the evidence received and the penalty recommended. A copy of the report will be sent to the candidate.
- 7.9 The RDC will consider the report and may decide that:
- a. The candidate should be permanently excluded from the pursuance or award of the degree;
 - b. The candidate should be excluded from the pursuance of the degree for a specified period, and only permitted to re-register for the degree subject to compliance with requirements which will be stipulated in writing by the Chair.
- 7.10 In the case of misconduct in relation to taught elements of the research degree, the RDC will consider the report and may decide that:
- a. If misconduct is upheld and it is a first offence that the work is given a lower mark .
 - b. If misconduct is upheld and it is not a first offence, the work might be awarded a fail grade;
- 7.11 The Chair will communicate the decision of the IRO to inform the candidate and the supervisor.

8 THE EXAMINATION

- 8.1 The examination may not take place until the examiners and the final title of the thesis have been approved by the RDC. The *viva voce* examination should normally be completed within 3 months of the formal submission of the thesis for examination, unless there are exceptional circumstances.
- 8.2 The examination for a research degree shall have two stages: first, the candidate's submission of the thesis and the examiners' independent preliminary assessment of it; and second, the defence of the thesis by *viva voce* or approved alternative examination.
- 8.3 A candidate shall normally be examined orally on the programme of work and on the field of study in which the programme lies. Where for reasons of sickness, disability or comparable valid cause, the RDC is satisfied that the candidate would be seriously disadvantaged if required to undergo an oral examination, an alternative form of examination may be approved by the RDC. Such approval shall not be given on the grounds that the candidate's knowledge of English is inadequate.
- 8.4 The oral examination should normally be held in the Institute and must be attended by all examiners. In special circumstances the may give approval for the examination to take place elsewhere. If it is proposed that the examination is held away from the Institute, the application for examination arrangements must specify the location. The candidate's supervisor(s) may, with the permission of the student, be present at the oral examination in a non-speaking capacity. Others may, with the permission of the candidate and agreement of the examiners, be present at the *via voce* in a non-speaking capacity.
- 8.5 The RDC shall make a decision based on the reports and recommendation(s) of the examiners in respect of the candidate. The formal power to confer the degree shall rest with the Academic Board on the recommendation of the RDP.
- 8.6 Where evidence of the use of unfair means, such as plagiarism, in the preparation of the thesis or other irregularities in the conduct of the examination come to light the RDC shall consider the matter, if necessary in consultation with the examiners, and take appropriate action.
- 8.7 The RDC shall ensure that all examinations are conducted, and the recommendations of the examiners are presented, wholly in accordance with these regulations. In any instance where the is made aware of a failure to comply with all the procedures of the examination process, it may declare the examination null and void and appoint new examiners.

9 THE CANDIDATE'S RESPONSIBILITIES IN THE EXAMINATION PROCESS

- 9.1 The candidate shall ensure that the requisite number of copies of the thesis are submitted to the Institute Research Office before the expiry of the registration period. Sufficient copies must be submitted to enable each examiner to receive a copy. The candidate should submit the following forms with the thesis:
1. author's declaration and
 2. candidature form
- 9.2 The submission of the thesis for examination shall be at the sole discretion of the candidate. Although a candidate would be unwise to submit the thesis for examination against the advice of the supervisor(s), it is her/his right to do so. The supervisor(s) should record in writing the thesis has been submitted against advice and submit a copy of this record to the Research Office. The supervisor's agreement to the submission of a thesis does not guarantee the successful outcome of the examination.
- 9.3 The candidate shall satisfy any conditions of eligibility for examination required by the .
- 9.4 The candidate shall take no part in the arrangement of the examination and shall have no contact with any of the examiners between the appointment of the examiners and the oral examination.
- 9.5 The candidate shall ensure that the thesis format is in accordance with the requirements of these regulations.

10 EXAMINERS

- 10.1 A candidate shall be examined initially by at least two and normally not more than three examiners, of whom two shall be independent (as defined in 11.2 below) and at least one or external examiner. The first supervisor shall have responsibility for contacting and nominating the examiners and should consult with the candidate concerning the suitability of the examiners. Should the candidate and supervisor(s) disagree on the proposed appointment of an external examiner the matter will be referred to the Head of Research, and failing resolution, to the Chair of the Institute Research Committee for a final decision.
- 10.2 An independent internal examiner shall be defined as a n examiner who is:
- a) A member of staff of the Institute, but not a member of the supervisory team;
or
 - b) A member of staff of the candidate's collaborating establishment, but not a member of the supervisory team.

- 10.3 Where the candidate is on the permanent staff of The Markfield Institute of Higher Education no member of staff may serve as an examiner.
- 10.4 Examiners shall not be appointed unless experienced in research in the area of the candidate's thesis. At least one examiner should also have experience of examining at least two candidates at the level of award being sought.
- 10.5 An examiner shall not have acted previously as the candidate's supervisor, advisor or independent assessor on a transfer panel. An external examiner shall be independent of the Institute or collaborating establishment and shall normally not be either a supervisor of another candidate at the Institute or collaborating establishment. Former members of the Institute staff or student body shall normally not be approved as external examiners until three years after the termination of their employment of course of study with the Institute. The shall ensure that no examiner is approved so frequently that her or his independent judgement is compromised (normally not more than once every two years).
- 10.6 No candidate for a research degree shall act as an examiner.
- 10.7 The Institute shall determine and pay the fees and expenses of the external examiners.

11 FIRST EXAMINATION

- 11.1 Each examiner shall read and examine the thesis and submit an independent preliminary report on it to Institute Research Office. In the case of the MPil and PhD this should be at least 7 days before any *viva voce* or alternative form of examination is held.
- 11.2 Where the examiners are of the opinion that the thesis is so unsatisfactory that no useful purpose would be served by conducting an oral examination, they may recommend that the oral examination be postponed and return the thesis for further work and resubmission. In such exceptional cases the examiners shall provide the with written guidance for the candidate concerning the deficiencies of the thesis. The examiners shall not recommend that a candidate fail outright without holding an oral examination or other alternative examination.
- 11.3 Following the oral examination, the examiners should prepare a joint report that must be sufficiently detailed to enable the RDC to make a well-founded recommendation to Academic Board. A summary of the report may be made available to the student via the Institute Research Office (IRO) upon request and only if the examiners have agreed upon an unequivocal recommendation. They should make it clear that it is their recommendation, but that the decision on the award rests with the Academic Board. The report should make one of the following recommendations:

- a. The candidate be awarded the degree unconditionally;
- b. The candidate be awarded the degree subject to the correction of typographic and similar errors to the satisfaction of the first supervisor. Typographic errors may be communicated via an annotated copy of the thesis.
- c. The candidate be awarded the degree subject to minor amendments, to the satisfaction of the internal examiner where present or a nominated external examiner if not. In this case, the examiners shall provide in writing for communication to the candidate by the PRC a list of the minor amendments required. Such minor amendments should be of a scale capable of correction by the candidate within six weeks of the *viva voce*.
- d. The candidate be awarded the degree subject to major amendment to the thesis to the satisfaction of a nominated examiner. In this case the examiners shall provide in writing for communication to the candidate by the PRC a list of the amendments and corrections required. Typographic errors may be communicated via an annotated copy of the thesis. Corrections should be made within six months of the relevant meeting of the .
- e. The candidate not be awarded the degree, but be permitted to re-submit the thesis in revised form and be re-examined, with or without an oral examination. The examiners should recommend re-submission only if there is sufficient evidence of original work and if the amount of further work to be undertaken is not so substantial as to constitute a new thesis. A recommendation should be made concerning the maximum period of time for re-submission, which is normally between 6 and 12 months from the relevant meeting of the .
- f. If the case of a PhD examination, the candidate not be awarded the degree of PhD, but be awarded the degree of Phil subject to the presentation of the thesis amended as necessary to the satisfaction of the examiners.

In case of a Professional Doctorate, the candidate not be awarded the Doctorate but may be awarded a lesser award consonant with the assessed work completed and/or thesis submitted. In the case of an Phil examination, the examiners may recommend that the candidate not be awarded the degree of Phil, but be awarded the degree of MSc or MA by Research subject to the presentation of the thesis amended to the satisfaction of the examiners;

- g. The candidate not be awarded any degree and not be permitted to re-submit the thesis. In this case, the examiners shall prepare an agreed general statement of the deficiencies of the thesis and the reason for their recommendation, which shall be submitted to the PRC for transmission to the and subsequently to the candidate.

11.4 Where the examiners' recommendations are not unanimous, the committee may:

- a. Accept a majority recommendation provided that the majority includes at least one external examiner; or
- b. Require the appointment of an addition external examiner. Following this appointment, there shall be one re-examination only.

12 RE-EXAMINATION

12.1 One re-examination may be permitted by the Committee subject to the following requirements:

- a. a candidate who fails to satisfy the examiners at the first examination (including at the oral approved alternative examination, or any further examination required) may, on the recommendation of the examiners, and with the approval of the , be permitted to revise the thesis and be re-examined;
- b. the examiners shall provide the candidate, through the , with written guidance on the deficiencies of the first submission; and
- c. the candidate shall submit for re-examination normally within the period of one calendar year from the date of the relevant meeting. Where the oral examination has been dispensed with, the re-examination shall take place within 6 months of the resubmission of the thesis. The may, where there are good reasons, approve an extension of this period.

12.2 The RDC may require that an additional external examiner be appointed for the re-examination.

12.3 On completion of the re-examination, the examiners shall make one of the following recommendations that:

- a. the candidate be awarded the degree unconditionally;
- b. the candidate be awarded the degree subject to the correction of typographic and similar errors to the satisfaction of the first supervisor. Typographic errors may be communicated via an annotated copy of the thesis. Such corrections should be of a scale capable of completion by the candidate within four weeks of the viva voce.
- c. the candidate be awarded the degree subject to minor amendments, to the satisfaction of the internal examiner where present or a nominated external examiner if not. In this case the examiners shall provide in writing for communication to the candidate by the PRC a list of the minor amendments required. Such minor amendments should be of a scale capable of correction by the candidate within six weeks of the viva voce.
- d. the candidate be awarded the degree subject to major amendment to the thesis to the satisfaction of the nominated examiner. In this case the examiners shall provide in writing for communication to the candidate by the PRC a list of the amendments and corrections required. Typographic errors may be communicated via an annotated copy of the thesis. Corrections should be made within six months of the relevant meeting of the .
- e. In the case of a PhD examination, the candidate not be awarded the degree of PhD, but be awarded the degree of MPhil subject to the presentation of the thesis amended as necessary to the satisfaction of the examiners.
In the case of a Professional Doctorate, the candidate not be awarded the Doctorate but may be awarded a lesser award consonant with the assessed work completed and/or thesis submitted.

In the case of an MPhil examination, the examiners may recommend that the candidate not be awarded the degree of MPhil, but be awarded the degree of MSc or MA by Research subject to the presentation of the thesis amended to the satisfaction of the examiners; or

- f. the candidate not be awarded any degree.

12.4 Where the examiners' recommendations are not unanimous, the Committee may accept a majority recommendation provided that the majority includes at least one external examiner.

12.5 If the degree is not awarded, 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 RDC and to the candidate by the Institute Research Office.

13 THESIS

13.1 The thesis shall be presented in English. If the candidate proposes a change to the approved title of the thesis, s/he shall submit the final title for approval by the at the same time as the application for examination arrangements is submitted.

13.2 There shall be an abstract of approximately 300 words bound into the thesis on the page following the title page, which shall provide a synopsis of the thesis, stating the nature and scope of the work undertaken and of the contribution made to the knowledge of the subject treated. Two loose copies of the abstract shall be submitted with the thesis. The loose copies of the abstract shall have the title of the thesis, the name of the author, the degree for which the thesis is submitted and the month and year of submission.

13.3 The thesis shall acknowledge published or other sources of material consulted and any assistance received.

13.4 Where a candidate's research programme is part of a collaborative group project, the thesis shall indicate clearly the candidate's individual contribution and the extent of the collaboration. A signed declaration must be bound into the thesis stating how far the work contained in the thesis was the candidate's own work, or how far it was undertaken in collaboration with, or with the assistance of, others.

13.5 The candidate shall be free to publish material from the thesis in advance of its submission, but reference shall be made in the thesis to any such output.

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

- a. The thesis shall be printed or typed in A4 portrait format, on white paper of bond quality (within the range 70 gsm to 100 gsm) and on one side of the page only (recto). Paper of a larger size up to A3 may be used for maps, plans, diagrams or other illustrative material and must be bound securely into the thesis.
- b. Copies of the thesis shall be presented in a permanent and legible form either in typescript, print or other generally accessible form; where copies are

produced by photocopying processes, these shall be of a permanent nature; where word processor and printing devices are used, the printer shall be capable of producing text of a satisfactory quality; the size of character used in the main text, including displayed matter and notes, shall not be less than 2.0 mm for capitals and 1.5 mm for x-height (that is, the height of lower-case x).

- c. The margin at the binding edge of the page shall not be less than 40 mm; other margins shall not be less than 15 mm. Margins should not include the page number.
- d. Double or one-and-a-half spacing shall be used in the typescript except for indented quotations or footnotes where single spacing may be used.
- e. Pages shall be numbered consecutively through the main text, including photographs and/or diagrams included as whole pages. Page numbers shall not be printed in the margin.
- f. The title page shall give the following information in the following order (see also specimen title page below):
 - i. the full title of the thesis (including any sub-title), followed by the volume number if there is more than one;
 - ii. the full name of the author;
 - iii. 'A thesis submitted to the Markfield Institute of Higher Education in accordance with the requirements of the degree of In the Faculty of',
 - iv. the name of the collaborating establishment(s) if any; and
 - v. the month and year of submission.
- g. The candidate shall include on the page following the abstract page, a signed author's declaration stating that the material presented for examination is her/his own work or how far the work contained in the thesis was the candidate's own work, or how far it was conducted in collaboration with, or with the assistance of others, and stating that the thesis is not being submitted for any other academic award. Please see example of wording on the following page. 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 which work has been so incorporated. In addition, a disclaimer that the views expressed in the dissertation are those of the author and not of the Institute shall be included on next page

Authors Declaration (example)

I declare that the work in this thesis was carried out in accordance with the regulations of the Institute of Gloucestershire and is original except where indicated by specific reference in the text. No part of the thesis has been submitted as part of any other academic award. The thesis has not been presented to any other education Institute in the United Kingdom or overseas.

Any views expressed in the thesis are those of the author and in no way represent those of The Institute.

Signed Date

- h. Upon initial submission for examination, the thesis may be submitted either in a permanently bound form or in a temporarily bound form which is sufficiently secure to ensure that pages cannot be added or removed (a form such as 'perfect binding'). A thesis submitted in temporary binding shall be in its final form in all respects except the binding. In such cases the candidate shall confirm that the contents of the permanently bound thesis are identical with the version submitted for examination, except where amendments have been made to meet the requirements of the examiners.
- i. Following successful examination, the thesis shall be presented in a permanent binding of the approved type. One copy of the final thesis should be submitted to the PRC for retention in the Institute library. In the case of a doctoral thesis, a British Library doctoral thesis agreement form should be submitted with the final thesis.
- j. The approved type of binding thesis shall be of a fixed type so that leaves cannot be removed or replaced; the front and rear boards shall have sufficient rigidity to support the weight of the work when standing upright; and in at least 24pt type gold lettering the outside front board shall bear the title of the work. The name and initials of the candidate, the qualification, and the year of submission; the same information (excluding the title of the work) shall be shown on the spine of the work, reading downwards.
- k. The binding of the thesis shall be black for PhD and Professional Doctorate and dark blue for MSc/MA by Research, MRes and for MPhil.
- l. The text of the thesis submitted should normally not exceed the following lengths :
 - a. for an MPhil 50.000 words
 - b. for a PhD 80.000 wordsif the thesis is accompanied by material other than written form, or the research involves preparation of scholarly edition the balance of the thesis should normally be within the range :
 - a-for MPhil 15.000 -20.000
 - b-for PhD 20.000-40.000

- 13.7 Sufficient copies of the initial thesis should be submitted to the IRO to enable each examiner to receive a copy.
- 13.8 The copyright in the thesis shall normally be vested in the candidate, unless there are exceptional circumstances.

[Specimen thesis title page]

[Title]

[Author]

A thesis submitted to
The University of Gloucestershire
in accordance with the requirements of the degree of
Doctor of Philosophy
In
The Markfield Institute of Higher Education

June 2009

14 RIGHT TO APPEAL

- 14.1** A candidate who is required to withdraw from her or his programme of research before it has been completed on the grounds of unsatisfactory progress, or who fails to reach the standard required for the award of the degree, has the right to appeal. The appeal must be lodged in writing with the Institute Research Office within 10 working days of the date of the letter of notification of withdrawal or failure.
- 14.2** The RDC shall authorise the Registrar to determine whether an individual appeal falls within the jurisdiction of an appeals panel. If the Academic Registrar determines there is a prima facie case, the Institute shall establish an appeals panel to consider the appeal as soon as is reasonably practicable.
- 14.3** The grounds for an appeal are:
- a. That there were circumstances adversely affecting the candidate's performance, such as illness or other factors, which the candidate was unable, or for valid reasons, unwilling to divulge and which could have had a bearing on her or his performance. In the case of illness, the candidate is required to provide a medical certificate;
 - b. That there is evidence of procedural irregularity, including administrative error, in the conduct of the examination, which is of such a nature as to cause doubt as to whether the outcome of the examination might have been different had such irregularity not occurred.
- 14.4** A candidate may not appeal on the basis of disagreement with the academic judgment of the examiners.
- 14.5** An appeals panel shall be chaired by a nominee of the Vice-Chancellor and normally drawn from the Professoriate (excluding serving members of the). There panel will consist of three members drawn from the with experience of supervising and examining research degrees. No member of an appeals panel shall be involved in the consideration of an application in which s/he has an interest. No student or research degree candidate can be a member of an appeals panel.
- 14.6** If the documentary evidence submitted by the candidate is considered to reflect on the professional integrity of other parties, such as the supervisor(s) or the examiner(s), the panel shall ensure that these parties have a fair and full opportunity to present their case.

14.7 The appeals panel may recommend that:

- a. There is a *prima facie* case for an appeal and that the itself (in case of enforced withdrawal) or the examiners be required to review their decision in the light of that case, or
- b. There is a *prima facie* case for a review of the examiners' decision and that new examiners be appointed.
- c. The application be rejected.

14.8 The RDC will consider the recommendations of the appeals panel, together with any evidence submitted by the parties, and shall make a decision. If any member of the has or has had direct involvement with the candidate, either as a supervisor or as an examiner, she/he is required to withdraw from discussions.

14.9 Examiners who are required to review their original decision shall do so as soon as is reasonably practicable by whatever means is agreed by the .

14.10 An appeals panel shall not be constituted as an examination board and shall not have the authority to set aside the decision of the examiners and thereby to recommend the ward of the degree.

14.11 There shall be no appeal against the final decision.

PART TWO: PROCEDURES RELATING TO RESEARCH DEGREES

1 PROCEDURES RELATING TO MPhil AND MPhil WITH POSSIBILITY FOR TRANSFER TO PHD

2 ADMISSION AND ENROLEMENT

Enrolment: It is recommended all students commence their studies in either October or February. This coincides with the provision of the required research methods modules at the University and the Institute. RDC can suggest alternative enrolment dates. All students of the Institute are required to complete an annual administrative enrolment process; this is sometimes also referred to as registration. This is distinct from the registration of the research degree proposal.

- 2.1 All general research degree enquiries should be directed to the Institute Research Office (IRO) which supplies further information, including the preliminary application form (RDA).
- 2.2 The completed form RDA should be returned to the IRO, which takes up references and sends a copy of the RDA to the Head of Research who will decide whether to invite the candidate for an interview. If the decision is to interview, the Head of Research organises an interview with the candidate and proposed supervisor(s). A training needs analysis will be carried out at interview. If the decision is not to interview, the Head of Research completes the RDA form and asks the IRO to write to inform the candidate of the decision and rationale.
- 2.3 If it is established that the proposed research project falls within the research remit of the Institute, that the candidate is judged capable of pursuing the work, and that adequate supervisory arrangements can be offered and facilities provided, the Head of Research completes Section B of form RDA and returns the form to the IRO. This will include confirmation of requirement to take research modules (or suitable alternative). If the Institute is unable to offer appropriate supervisory arrangements or facilities, the Head of Research will indicate this on the form. The Head of Research should also inform the IRO if there is a need to vet the candidate under the terms of the Foreign Office scheme relating to the export of dangerous technology, or if the candidate is required to undertake any further work or study prior to enrolment.
- 2.4 On receipt of the completed form RDA, the IRO will either:
 - a. Initiate enrolment; or
 - b. Inform the candidate that the application cannot be accepted as the Institute is unable to offer appropriate supervisory arrangements or provide adequate resources or the candidate is not suitable.

- 2.5 Once tuition fees have been paid, the student is formally **enrolled** and entitled to receive academic advice and to use the Institute's learning support facilities, office space and computer facilities as appropriate. The period of enrolment should not exceed 12 months, unless a longer period is agreed with the Faculty Research Director and notified to the IRO. It should be noted that enrolment does not guarantee subsequent successful registration.

3 APPLICATION FOR REGISTRATION

- 3.1 The Head Research will assign responsibility to an academic adviser to guide the student in developing a proposal for a research programme to enable this to lead to an application for research degree registration on form RD1 (downloadable from the research pages of the Institute's website).
- 3.2 During the pre-registration period, the academic adviser will normally, in conjunction with the Head of Research agree a supervisory team.
- 3.3 In order to register for a research Master's degree, an applicant should normally hold a first or upper second class Honours degree in a relevant subject.
- 3.4 The first supervisor should submit the RD1 form to the Head of Research for initial consideration by the Institute Research Degrees Committee. The Institute Research Degrees Committee, or its representatives, will ensure that:
- a. the applicant meets the entry requirements;
 - b. a suitable programme of research study can be defined and properly supervised and resourced, or the previously published materials intended to be submitted as part of the submission shown prima facie evidence of suitability;
 - c. if appropriate, any arrangements with any collaborating establishment are clearly defined and a letter of confirmation from the collaborating establishment is attached to the application;
 - d. the appropriate mode of study, the required research methods training, and the period of study have been agreed;
 - e. the supervisory team are engaged in ongoing professional development;
 - f. appropriate external advice has been taken, if confirmation of the prospective supervisor's opinion of the quality of the proposal cannot be provided by Institute staff;
 - g. the student and supervisors are aware of and have agreed to operate by the ethical principles and guidelines of the Institute.
- 3.5 The RDC may reach to outcomes:
- a. The student's proposal is deemed satisfactory and the Head of Research endorses the RD1 form before returning it to the IRO.
 - b. The proposal is deemed unsatisfactory and returned to the student for further development or amendment.

3.6 Transfer from other Institutions

In the case of students wishing to transfer to the Institute from other institutions, in addition to the above procedures, the Head of Research should provide the relevant Research Administrator (IRO) with written confirmation from the Institute as to the status of the applicant and the about the acceptability of the transfer.

3.7 Registration Periods

The candidate may register on a full-time or a part-time basis. Full-time students are expected to devote on average 35-40 hours per week to their research, and part-time students on average 15-20 hours per week. Registration may be backdated by up to 12 months from the date of approval. Longer periods of backdating may be 8 Hereafter referred to as 'the ' 45 permitted exceptionally and with good cause. Details of registration periods are given in Part One, section 5 The period of registration may be shortened to a minimum of 12 months when the submission consists of previously published material accompanied by a critical reflection and commentary on the submitted publications.

3.8 Group Projects

An applicant whose work forms part of a larger group project shall clearly state the individual contribution and its relationship to the group project. Each individually registered project must in itself be distinguishable for the purposes of assessment and be appropriate for the award being sought.

3.9 Creative Work

A candidate may undertake a programme of research in which his or her own creative work forms, as a point of origin or reference, a significant part of the intellectual enquiry. See the Handbook of Regulations for full details.

3.10 Published Work

A candidate may undertake preparation of a thesis for which his/her previously published work forms a point of origin or reference for a significant part of the intellectual enquiry.

3.11 Funded Research

Where a project is part of a piece of funded research, the Institute will 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 applicant's research degree.

3.12 Work Outside the UK

The RDC may approve an application from a person proposing to work largely outside the UK. If any part of the research project is undertaken outside the Institute, including outside the UK, the Institute will require:

- a. satisfactory evidence of the adequacy of the facilities and support available for the research at the place of work or study;
- b. that the supervisory arrangements enable frequent and substantial contact between the first or second supervisor and the candidate;
- c. that there is sufficiently frequent personal contact between the student and the first supervisor; in order to assure the supervisor of the candidate's continuing progress;
- d. such periods of attendance as may be required in order to comply with regulations and training needs. Elements that require attendance may include, but are not limited to: interview where required, research methods training, transfer, annual progress board, and *viva*.

3.13 Application for Embargo on Thesis

Where a candidate wishes the thesis to remain confidential for a period of time after completion of the work, application for approval is normally made at the time of registration. In cases where the need for confidentiality emerges at a subsequent stage, a special application for the thesis to remain confidential after submission shall be made to the at the same time as approval is sought for examination arrangements. The period approved shall normally not exceed 2 years from the date of the oral examination.

4 APPROVAL OF REGISTRATION

- 4.1 The Markfield Institute of Higher Education Research Degrees Committee will decide whether to:
- a. Approve the application
 - b. Require that the application be modified or further information provided;
 - c. Reject the application
- 4.2 In considering applications for registration, the RDC will seek to satisfy itself as far as possible on the following points:
- a. the objectives of the study are clearly stated, are achievable in the time and with the resources available, and can be translated into a realistic programme of work;
 - b. the application makes appropriate acknowledgement of relevant literature in the proposed area of research, defines the context of the work to be undertaken, and summarises the current base of knowledge and/or current practice in the subject area. The application should also define the study's particular area of interest within this body of knowledge and justify why it is pertinent in the context of existing research and/or current practice;
 - c. a clear description and justification of the proposed methodology is presented, or a statement provided on the appropriateness of the methods chosen;
 - d. an indicative statement is made in respect of the proposed data that are to be assembled in the conduct of the research (whether from primary or secondary sources), and that such data can be realistically procured in terms of both time and accessibility, or that the nature of the available data and/or practice are suitable for the area of study concerned;
 - e. proposed methods of analyses of data and other material are clearly stated and that such analyses are appropriate to the overall objectives of the study, or that the patterns of analysis followed are consonant with the field of study;
 - f. the interpretation of the analyses (in terms of possible ranges of outcome) has been given appropriate consideration;
 - g. an indicative statement is made in respect of the possible types of outcome that the study might reach;
 - h. the application contains a summary of the contents of the research;
 - i. the application contains a timetable for the work, together with a statement of how such a programme will be managed;
 - j. any ethical issues have been fully considered by the appropriate body.

In addition, the RDC will ensure that : Where appropriate, adequate consultation is undertaken with external subject specialists; that the proposed supervisory arrangements are satisfactory; that the candidate is suitably qualified; that an appropriate programme of related studies and research training can be provided for the candidate; that thought has been given to any possible need for confidentiality; and that the research is ethically sound (see Research Ethics Handbook of Principles and Procedures, <https://intranet.glos.ac.uk/research/researchethicshb/procedures.htm>).

- 4.3 Head of Research will inform the student and the supervisor of the decision of the and provide full details of any conditions of approval of further work to be undertaken. When the application is approved by the RDC the IRO will inform the student and the supervisor formally.

5 CHANGE OF REGISTRATION

5.1 Change of Mode of Study

- a. Application for change of mode of study from full-time to part-time or vice versa should be made on form RD6 by the student in consultation with the supervisor, and submitted to the IRO.
- b. The RDC will satisfy itself that the student will be able to commit sufficient time to the project. The student and supervisor will be informed of the decision by the IRO.

5.2 Extension of Registration

Once informed of RD1 approval by the IRO, it is the responsibility of students and supervisors to be aware of deadline for thesis submission.

- a. Application for an extension of registration should be made by the student on form RD3 submitted to the PRC **no later than 3 months** before the normal maximum registration period is due to end. The supervisor should consult with the student during the final 6 months of the registration period to ascertain whether an application for extension may be required. This should then be discussed with the Head Research Director, who has to approve the application for forwarding to the .
- b. Extension is sought to produce a thesis, but is likely to be unable to submit within the maximum period of registration. The student should seek extension for a specific period.
- c. The will consider the reasons for the delay and decide whether to approve an extension of registration. It may approve a definitive limit to the period of extension .
- d. The IRO will then inform the student and supervisor of the 's decision.
- e. During the period of extension, the student is entitled to all the facilities normally available to a registered student. If the extension is for a significant period (normally more than 3 months), the Institute may levy an appropriate extension fee.

5.3 Temporary De-registration

- a. Application for temporary de-registration should be made by the student on form RD4 to the IRO as soon as it is clear that s/he is unable, for good cause, to continue to be actively engaged upon the research for a significant period, but does intend to resume the research programme at the end of the period of de-registration. The application should be made for a specific period. Six months is the most common period of de-registration sought, but shorter periods of 3 to 6 months and for up to 12 months may be granted.
- b. Grounds for de-registration include illness (for which a doctor's certificate must be provided), pregnancy and childbirth, change in employment or family status which precludes the possibility of undertaking any research study. Any event or consequence of an event that prevents the student from undertaking any work upon the thesis for a significant period of time may be considered as grounds for de-registration.
- c. The IRO will decide whether it is likely that the student will be able to complete the work. The IRO will inform the student and the supervisor of the IRO's decision.
- d. Temporary de-registration is a formal status and the student is consequently not entitled to use any Institute facilities, including the learning centres and research centres, nor to receive supervision during the period of de-registration. If a student is in receipt of the Institute Studentship or Bursary, payments will be suspended. Should a Studentship or Bursary-funded student seek temporary de-registration which includes a back-dated period of time, then s/he will be required to repay the appropriate portion of the Studentship or Bursary.
- e. When the student is able to resume work on his/her research, s/he must immediately inform the IRO.

5.4 Withdrawal of Registration

- a. Where it becomes clear that the candidate is no longer active on the project and will not complete the work, the supervisor is responsible for initiating the procedure for notification of withdrawal as soon as possible. The supervisor should first advise the student of this course of action and discuss the case with the Head of Research.
- b. The supervisor will submit the standard Institute form for Notification of Withdrawal/Deferral/Transfer to the IRO which will report it to the IRO.

6 TRANSFER OR UPGRADE OF REGISTRATION MPhil, FROM MPhil to PhD

- 6.1 A candidate registered for MPhil who wishes to transfer to MPhil or PhD, should notify her/his supervisor, who will discuss the transfer with the Head of Research. Head Research will then arrange and chair an interview at which the candidate is required to satisfy the transfer panel as to the progress made and the suitability of proposals for the upgraded stage of the work. Although the student is strongly advised to heed the advice of the supervisor and Head of Research as to whether and when to apply for upgrade, the student may elect to seek upgrade against this advice.

- 6.2 The transfer panel should comprise the supervisors, Head of Research and an independent member of appropriate standing and expertise with knowledge of the general subject area. Where no internal member of staff has appropriate subject expertise, an external person should be appointed to the panel. The independent panel member cannot be used as an examiner for the student's thesis if used in the transfer process. All transfer applications are subject to the approval of the Markfield Institute of Higher Education Research Degrees Committee.
- 6.3 Normally a period of about 12 months of full-time study or 24 months of part-time study from date of registration provides sufficient evidence of development to permit application for upgrade to a higher level of degree.
- 6.4 In support of the application, the candidate must prepare a full transfer report detailing the work undertaken. The report should be word-processed and of 3,000 - 6,000 words. The candidate may, with the permission of the supervisor and of the Head of Research, submit other output for assessment, for example in the case of research degrees which combine thesis and practical work.

6.5 *The purpose of the transfer report is:*

- a. To enable the panel to view the development of the programme of research in its entirety up to the stage of transfer, so as to be able critically to evaluate the level of work, its significance and validity;
- b. To clarify the future direction of the research, including its methodology and any targets to be achieved.
- c. To provide the student with experience in the compilation of a research report, as part of the general training in research methods and as a basis for the thesis;
- d. To provide the supervisors and transfer panel with evidence of the student's ability to undertake and report upon a research programme as the appropriate level;
- e. To enable the supervisors and the transfer panel to assess the student's potential for research at MPhil or doctoral level.

6.6 The transfer report should include the following:

- a. An introduction to the work, with details of background literature and the origins of the project;
- b. Clear details of the aims, objectives and purpose of the programme of research;
- c. A summary of the programme of research so far undertaken including an account of the method(s) adopted, an analysis of any findings and a discussion of their significance.
- d. Clear details of future plans and how the work is expected to develop to PhD level, including details of the original contribution to knowledge likely to emerge.

- 6.7 If the student is required to undertake any other work before transfer is recommended by the panel, the Chair of the transfer panel will ensure that these requirements are communicated to the student and are met. When the interviewing panel is satisfied with the student's performance, form RD2, application for transfer, is completed by the student and supervisor(s) and submitted to the IRO for consideration by the . On the form, the supervisors must provide a report evaluating the candidate's progress on the research and indicating that there is sufficient evidence that the research programme provides a basis for work of doctoral standard.
- 6.8 The Research Degree committee will satisfy itself that the candidate has made sufficient progress and that the proposed programme of research provides a suitable basis for work at PhD level that the candidate is capable of pursuing to completion.
- 6.9 Once the transfer has been approved by the RDC, a letter of notification will be sent to the student by the IRO

7 MANAGEMENT OF THE PROGRAMME OF RESEARCH

7.1 Appointment of Supervisors

- a. The Head Research is responsible for nominating the supervisory team, to be identified on the application form RD1. Supervisors who have not previously been approved by the RDC should attach the RD1 a short CV of no more than 3 pages.
- b. One supervisor will be identified as the first supervisor with responsibility for supervising the candidate on a regular basis. The first supervisor must be a member of Institute staff. The second supervisor(s), who may be external to the Institute, is/are appointed to add subject/methodological expertise or experience to the team. The Head of Research is responsible for initially informing any external supervisor of his/her responsibilities and obtaining his/her agreement in principle to act as second supervisor. When Head of Research has approved the supervisory arrangements, the IRO will send a copy of the letter of registration to the first supervisor and any external supervisors.
- c. The supervisory team must have combined experience of supervising to successful completion at least two candidates for research degrees at the level being supervised.
- d. Any proposed internal supervisor without experience of supervising a research degree to completion must have taken at least the three core sessions of the Institute's Supervisors Support Programme before being approved by the as a supervisor.
- e. In addition to the supervisory team, an adviser may be appointed in order to bring further subject specialist or professional expertise on a more ad hoc basis. There is no payment for acting as an advisor, unless the Head of Department or Institute agrees to make payment from her/his budget.

7.2 Change in Supervisory Arrangements

- a. Application for change in supervisory arrangements, for whatever reason is made on form DR5 by the Head of Research in agreement with the supervisor(s) and the student, as soon as it is clear that the original arrangements require changing. Head of Research submits the form to the RDC for consideration.
- b. The IRO will inform the student and the supervisors of the 's decision.

7.3 Change in Programme of Research (including change in degree sought)

- a. Application for a substantive change in the programme of research should be made on form RD7 by the student and submitted to the PRC for consideration by the . The student must discuss any proposed change(s) in the programme of research with the Had of Research in order to establish whether an application to the is actually warranted.
- b. The IRO will inform the student and the supervisors of the 's decision.

8 PROGRESS MONITORING

8.1 Monitoring of Supervision, Academic Performance and Training Needs

A record is required of each formal supervisory session using the form available in all research student offices and on each campus. It is the student's responsibility to initiate and maintain this process.

The supervision records will contribute to an annual monitoring process which will establish whether the candidate is actively engaged on the research programme and is maintaining regular and frequent contact with the supervisors. IRO is responsible for co-ordinating academic monitoring and will send out an annual progress report to each first supervisor towards the end of the academic year.

- Academic performance will be monitored and training needs established through Annual Progress reporting to the Head of Research Committee.
- All candidates and their supervisors, are required to complete annual progress reports.

Failure to submit an annual progress report may result in termination of the research degree programme. Progress reports are read by the appropriate Head of Research Director and by the Chair of the ; other than this reports remain confidential to the IRO. Where the supervisor is also the Head of Research an alternative senior supervisor will receive the relevant reports. On the basis of reports received, the Head of Research compiles a summary report for submission to the RDC and identifies any issues of concern that may require action.

On the basis of reports received, the Head of Research compiles a summary report for submission to the and identifies any issues of concern that may require action including withdrawal from the Institute in the case of students who fail to make sufficient progress.

8.2 Monitoring of the Research Environment

A key component in the monitoring of the research environment is the articulation of the student perspective through the Research Student Liaison Committee, which is responsible for eliciting student feedback and evaluation of the research environment by the use of appropriate methods such as questionnaires and group meetings. The Chair will report the results of the evaluation exercise to the . S/he is also responsible for acting upon the results of evaluation exercises by making direct contact with the appropriate Institute body, whether a Faculty, Department, Institute, administrative or support unit, or an individual member of staff.

8.3 Monitoring of student welfare: Research Student Advocate

The Advocate for Research Degree Students, whose name may be obtained from the IRO, provides an advisory contact independent of the formal monitoring system. S/he is available to discuss on an individual or group basis issues that a student feels to be particularly sensitive or inappropriate for discussion through the structured evaluation system. The Advocate submits an annual report to the .

9 THESIS FORMAT AND SUBMISSION

9.1 For details of thesis presentation and submission, candidates should consult the Part One Section 14 of this document.

9.2 Thesis Submission

The candidate should present the requisite number of copies of the thesis to the IRO before the expiry of the maximum period of registration. Sufficient copies must be submitted to enable each examiner to receive a copy. An author's declaration and a candidature form should also be submitted along with the thesis.

10 EXAMINATION ARRANGEMENTS

10.1 At least three months prior to the likely submission date, the supervisor should submit to the IRO form RD8 proposing examination arrangements, including full details of the proposed examiners, for consideration by the Research Degree. A one-page CV should be attached for any external examiner not previously approved by the . The minimum requirement is for two independent examiners, one of whom must be an external examiner. An internal examiner may be appointed and should have subject expertise and be of appropriate standing. The first supervisor is responsible for contacting the proposed examiners to secure their agreement in principle to act as examiners. See Part One, section 11 of this document for requirements relating to examiners.

10.2 The IRO will inform the student, the supervisor and the examiners of the 's decision relating to the proposed examination arrangements.

10.3 When the examination arrangements have been approved by the RDC the supervisor should contact the examiners to inform them of the likely submission date and to make arrangements for the viva voce examination. The candidate should normally be given at least 14 days' notice of the date of the *viva*.

10.4 It is the first supervisor's responsibility formally to notify the IRO and the candidate of the agreed date of the *viva voce* examination.

11 EXAMINATION PROCEDURE

See also the relevant sections of Part One of this document.

- 11.1 Once examiners have been approved, the IRO will send letters of appointment to examiners. Copies of the preliminary and final report forms will be sent out with the thesis.
- 11.2 The first stage of the examination is the examiners' independent preliminary assessment of the thesis. The examiners should each compile a preliminary report on the thesis and return this to the IRO at least 7 days before the proposed viva voce examination. The examiners may recommend that the oral examination be postponed to enable the candidate to undertake further work and to represent the thesis. In this latter case, the examiners should specify the grounds for their recommendation and should forward a separate sheet containing guidance for the candidate. The IRO will then forward this along with the preliminary reports to the for a decision
- 11.3 The examiners should bring with them to the viva voce copies of their own preliminary report for discussion prior to the viva.

11.4 Viva Voce Examination

The viva voce examination should normally be held at the Institute, but exceptionally may be held elsewhere, in which case the application for examination arrangements must specify the location. With the permission of the candidate, the candidate's supervisor(s) may be present at the oral examination in a non-speaking capacity. Others may, with the permission of the candidate and agreement of the examiners, be present at the viva voce in a non speaking capacity. All the examiners should attend the oral examination.

- 11.5 The purpose of the *viva voce* examination is to assess the candidate and the strengths and weaknesses of the thesis. Examiners should attempt to make the candidate feel at ease throughout the examination.

11.6 Examiners' Report

Following the examination, the examiners should prepare a joint report if they are in agreement about the outcome. Otherwise, separate reports should be submitted. Reports should be submitted to the IRO as soon as possible and normally within one week of the examination, unless there are exceptional circumstances.

- 11.7 The report should be sufficiently detailed to enable the chair of the examination committee to reach a well-founded decision and should include the following:

- a. A statement of the purpose of the research;
- b. A brief outline of the methodology;
- c. A summary of the new findings;
- d. An evaluation of the scholarly and literary standard;
- e. A brief report on the candidate's performance in the oral examination;
- f. A clear recommendation on whether to award the degree

11.8 Notification of Outcome

The Report will be submitted to the IRO which will inform the candidate, the supervisor and the Head of Research about the outcome of the examination. If the committee has agreed the award, the IRO will submit a copy of the pass list to the Academic Board for approval. A letter will be sent by the IRO to any candidate required to make corrections or amendments to the thesis before the award of the degree can be confirmed.

12 PROCEDURES FOR APPEALS

See Part One of this document for full details of appeals.

13 Procedure for Complaints

13.1 The following routes for raising complaints or problematic issues are open to all research

- a. The biannual progress monitoring exercise coordinated by the IRO;
- b. The evaluation questionnaires circulated by the Chair of the Committee
- c. Confidential discussion or correspondence with the Advocate for Research Degree students.

13.2 Complaints relating to supervisory arrangements or practice should first be raised with the Head of Research, unless she/he is a member of the supervisory team in which case students should contact either the Chair of the Institute Research Committee or the Advocate for Research Degree Students who will, if appropriate, bring the matter to the attention of the RDC.

13.3 Issues relating to re-sourcing, for example studio space, should, after discussion with the supervisor, be raised with the appropriate budget-holder, normally the Head of Department or Institute, or with the Head of Research.

13.4 If a complaint cannot be resolved through the above channels, it can be pursued under the Institute Student Complaints Procedure.

14 RESEARCH STUDENTSHIPS & INSTITUTE BURSARIES: PROCEDURES FOR APPOINTMENT & TERMS & CONDITIONS

Institute offers opportunities for full-time research studentships, full/partial funds towards the payment of tuition fees to eligible candidates. Details of these scholarships and student hardship funds together with appropriate application forms should be obtained from IRO.

14.1 Offer of Studentship or Bursary

An offer of a studentship or bursary will be confirmed to the student in writing by the Head of Department or Institute, or Head of Research and copied to the IRO. Form ORS must be submitted to the IRO by the Head of Department or Institute in order to initiate the enrolment procedure and/or the financial arrangements.

14.2 Enrolment and Registration

- a. following receipt of forms, the IRO will issue a formal Studentship or Bursary letter.
- b. see Sections 1 and 2 above for full details of enrolment and registration procedures. Students should be encouraged to submit form RD1 (application to register for a research degree) as soon as their research proposal is ready.

14.3 Length and Amount of Award

The length and amount the award will be determined by the type and conditions of scholarship/bursaries offered.

14.4 Start Date

The start date will be specified in the offer letter but will either be 1st October or 1st February depending on the enrolment date set out by the RDC.

14.5 Teaching/demonstrating Duties

When available, students may undertake teaching and other duties, properly remunerated, up to the equivalent of a maximum of 6 hours per week over the teaching year, including time spent in preparation for teaching and marking, as follows:

- a. **Teaching:** students undertaking teaching must be paid at the appropriate part-time hourly rate. For every one hour of contact, one hour must be allowed for preparation and marking. A student may therefore teach for the equivalent of a maximum of 3 hours per week. The first module of the Institute's Postgraduate Certificate in Higher Education (PGCHE), which provides initial professional development for those intending to pursue a career in Higher Education, and is a requirement for all new teaching staff, is currently available to all research students free of charge.
- b. **Demonstrating:** hours involved in demonstrating, assisting in a laboratory or computer class or similar can be calculated without inclusion of the requisite hours for preparation and marking, and may be paid at the minimum part-time hourly rate. Students in receipt of School or Unit bursaries should be provided with written confirmation of any teaching duties that are required as a condition of the bursary. The confirmation should be signed by the Head of Department or Institute or by the Head of Research..

14.6 Absence

If a student is absent for a continuous period of 2 weeks or more (including weekends) due to illness or other valid reason, s/he must inform the supervisor and the IRO within 14 days of the first day of absence, and submit a medical certificate to the IRO. During a period covered by a medical certificate or other appropriate documentary evidence, the award will be paid at the full rate for the first 4 weeks and at half rate for the next 4 weeks, within any 12-month period from the first day of absence. The amount of studentship/bursary paid at the next instalment will be calculated to take into account any periods of absence. After 8 weeks absence, the award will normally be held in suspension. The supervisor must inform the IRO immediately of any unauthorised absence.

14.7 Holidays

Students in receipt of studentships or bursaries are allowed up to 8 weeks holiday (including public holidays) in 12 months (pro rata for parts of a year), to be taken subject to agreement by the Head of Department or Institute. Not more than 4 weeks holiday may be taken at the end of the period of a research studentship or bursary.

14.8 Temporary De-registration

Although it is expected that studentships and bursaries will be held on a continuous basis, the Head of Research may be prepared to consider a suspension if a strong case can be made. If the student wishes formally to de-register temporarily, the following procedure should be followed.

a. Studentships

Form RD4 must be completed by the student and signed by the first supervisor and Head of Research. The Studentship will be suspended for the period of de-registration. If a student decides to back-date de-registration, s/he will be required to pay back the corresponding amount of the studentship already received. In cases of financial hardship, the Institute may agree to deduct from future studentship payments the amount already paid to the student in advance, rather than requiring the student to repay the sum immediately.

b. Department/Institute Bursaries

Procedures for the suspension of departmental bursaries are analogous to those relating to Institute studentships with the exception that the Head of Department or Institute must sign the RD4 form to authorise suspension of the bursary. The Bursary will be suspended for the period of de-registration. The Head of Department or Institute must also inform the Corporate Services Department of the dates of suspension of the bursary and copy the letter to the IRO. In the case of a student who decides to back-date de-registration, it is at the discretion of the Head of Department or Institute as to whether the student is required to pay back the corresponding amount of the bursary already received.

14.9 Termination of Award

- a. A student whose progress is unsatisfactory may have his/her award terminated. The supervisor must inform the IRO immediately if a student's progress is considered to be unsatisfactory. Unsatisfactory progress will be reported to the Chair of the Markfield Institute of Higher Education Research Committee and may result in both termination of the award and withdrawal from the Institute. If a student is required to withdraw, or if the studentship or bursary is terminated part way through a term, the student will be required to repay the appropriate proportion of the studentship or bursary for that term.
- b. The supervisor must inform the IRO immediately if a student withdraws. Students who withdraw from their programme of research, accept full-time employment, or change their mode of study part way through a term may be required to repay the appropriate proportion of the studentship or bursary for that term.

14.10 Additional Sponsorship

No student in receipt of a full-time Institute's studentship or bursary, who is subsequently successful in obtaining funding from another source or sources, whether external or from within the Institute, should be in a position where the total of his/her awards is in excess of the current studentship rate of the appropriate Research Council. S/he must notify the IRO immediately, and the level of any Institute/School/Research Unit studentship/bursary may be reduced or terminated in such circumstances.

15 PROCEDURES RELATING TO the PhD

- 15.1** Enrolment: All students except EdD students commence their studies in either October or February or the date suggested by the RDC. All students of the Markfield Institute of Higher Education are required to complete an annual administrative enrolment process; this is sometimes also referred to as registration. This is distinct from the registration of the research degree proposal.
- 15.2 All general research degree enquiries should be directed to the IRO, which supplies further information, including the preliminary application form (RDA)
- 15.3 The completed form RDA should be returned to the IRO, which takes up references and sends a copy of the RDA to the Head of Research who will decide whether to interview the candidate. If the decision is to interview, the Head of Research organises an interview with the candidate and proposed supervisor(s). A training needs analysis will be carried out at interview. If the decision is not to interview, the Head of Research completes the RDA form and asks the IRO to write to inform the candidate of the decision and rationale.
- 15.4 If it is established that the proposed research project falls within the research remit of the Institute, that the candidate is judged capable of pursuing the work, and that adequate supervisory arrangements can be offered and facilities provided, the Head of Research completes Section B of form RDA and returns the form to the IRO. This will include confirmation of requirement to take further research training if thought necessary. If the Institute is unable to offer appropriate supervisory arrangements or facilities, the Head of Research will indicate this on the form. The Head of Research should also inform the IRO if there is a need to vet the candidate under the terms of the Foreign Office scheme relating to the export of dangerous technology, or if the candidate is required to undertake any further work or study prior to enrolment.
- 15.5 On receipt of the completed form RDA, the IRO will either:
- a. Initiate enrolment; or
 - b. Inform the candidate that the application cannot be accepted as the Institute is unable to offer appropriate supervisory arrangements or provide resources or the candidate is not suitable.
- 15.6 Once tuition fees have been paid, the student is formally enrolled and entitled to receive academic advice and to use the Institute's learning support facilities, office space and computer facilities as appropriate. The period of enrolment should not exceed 12 months, unless a longer period is agreed with the Faculty Research Director and notified to the IRO. It should be noted that enrolment does not guarantee subsequent successful registration.

16 APPLICATION FOR REGISTRATION

- 16.1 Head of Research will assign responsibility to an academic adviser to guide the student in developing a proposal for a research programme to enable this to lead to an application for research degree registration on form RD1 (downloadable from the research pages of the Markfield Institute of Higher Education website).
- 16.2 During the pre-registration period, the academic adviser will normally , in conjunction with the Head of Research agree a supervisory team.
- 16.3 In order to register for a research Master's degree, an applicant should normally hold a first or upper second class Honours degree in a relevant subject.
- 16.4 The first supervisor should submit the RD1 form to the Head of Research for initial consideration by the Institute Research Degrees Committee. The Research Degrees Committee, or its representatives, will ensure that:
- a. The applicant meets the entry requirements;
 - b. A suitable programme of research study can be defined and properly supervised and resourced, or the previously published materials intended to be submitted as part of the submission show **prima facie** evidence of suitability;
 - c. If appropriate, any arrangements with any collaborating establishment are clearly defined and a letter of confirmation from the collaborating establishment is attached to the application;
 - d. The appropriate mode of study, the required research methods training, and the period of study have been agreed;
 - e. The supervisory team are engaged in ongoing professional development;
 - f. Appropriate external advice has been taken, if confirmation of the prospective supervisor's opinion of the quality of the proposal cannot be provided by Institutes staff;
 - g. The student and supervisors are aware of and have agreed to operate by the ethical principles and guidelines of the Markfield Institute of Higher Education.
- 16.5 The Research Degrees Committee at he stage of registration may have one of two outcomes:

- a. The student's proposal is deemed satisfactory and the Head of Research endorses the RD1 form before returning it to the IRO .
- b. The proposal is deemed unsatisfactory and returned to the student for further development or amendment.

16.6 Transfer from other Institutions

In the case of students wishing to transfer to The Markfield Institute of Higher Education from other Institutes, in addition to the above procedures, the Head of Research should provide the relevant Research Administrator (IRO) with written confirmation from the Institute concerned as to the status of the applicant and the acceptability of the transfer.

16.7 Registration Periods

The candidate may register on a full-time or a part-time basis. Full-time students are expected to devote on average 35-40 hours per week to their research, and part-time students on average 15-20 hours per week. Registration may be backdated by up to 12 months from the date of approval. Longer periods of backdating may be permitted exceptionally and with good cause. Details of registration periods are given in Part One, section 5

The period of registration may be shortened to a minimum of 12 months when the submission consists of previously published material accompanied by a critical reflection and commentary on the submitted publications.

16.8 Group Projects

An applicant whose work forms part of a larger group project shall clearly state the individual contribution and its relationship to the group project. Each individually registered project must in itself be distinguishable for the purposes of assessment and be appropriate for the award being sought.

16.9 Creative Work

A candidate may undertake a programme of research in which his or her own creative work forms, as a point of origin or reference, a significant part of the intellectual enquiry. See the Handbook of Regulations for full details.

16.10 Published Work

A candidate may undertake preparation of a thesis for which his/her previously published work forms a point of origin or reference for a significant part of the intellectual enquiry.

16.11 Funded Research

Where a project is part of a piece of funded research, the Markfield Institute of Higher Education will 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 applicant's research degree.

16.12 Work Outside the UK

The may approve an application from a person proposing to work largely outside the UK. If any part of the research project is undertaken outside the Markfield Institute of Higher Education, including outside the UK, the Institute will require:

- a. Satisfactory evidence of the adequacy of the facilities and support available for the research at the place of work or study;
- b. That the supervisory arrangements enable frequent and substantial contact between the first or second supervisor and the candidate;
- c. That there is sufficiently frequent personal contact between the student and the first supervisor; in order to assure the supervisor of the candidate's continuing progress;
- d. Such periods of attendance as may be required in order to comply with regulations and training needs. Elements that require attendance may include, but are not limited to: interview where required, research methods training, transfer, annual progress board, and *viva*.

16.13 Application for Embargo on Thesis

Where a candidate wishes the thesis to remain confidential for a period of time after completion of the work, application for approval is normally made at the time of registration. In cases where the need for confidentiality emerges at a subsequent stage, a special application for the thesis to remain confidential after submission shall be made to the at the same time as approval is sought for examination arrangements. The period approved shall normally not exceed 2 years from the date of the oral examination.

17 APPROVAL OF REGISTRATION

17.1 The Markfield Institute of Higher Education Research Degrees Committee will decide whether to:

- a. Approve the application;
- b. Require that the application be modified or further information provided;
- c. Reject the application.

17.2 In considering applications for registration, the RDC will seek to satisfy itself as far as possible on the following points.

- a. The objectives of the study are clearly stated, are achievable in the time and with the resources available, and can be translated into a realistic programme of work;
- b. The application makes appropriate acknowledgement of relevant literature in the proposed area of research, defines the context of the work to be undertaken, and summarises the current base of knowledge and/or current practice in the subject area. The application should also define the study's particular area of interest within this body of knowledge and justify why it is pertinent in the context of existing research and/or current
- c. A clear description and justification of the proposed methodology is presented, or a statement provided on the appropriateness of the methods chosen;
- d. An indicative statement is made in respect of the proposed data that are to be assembled in the conduct of the research (whether from primary or secondary sources), and that such data can be realistically procured in terms of both time and accessibility, or that the nature of the available data and/or practice are suitable for the area of study concerned;
- e. Proposed methods of analyses of data and other material are clearly stated and that such analyses are appropriate to the overall objectives of the study, or that the patterns of analysis followed are consonant with the field of study;
- f. The interpretation of the analyses (in terms of possible ranges of outcome) has been given appropriate consideration;
- g. An indicative statement is made in respect of the possible types of outcome that the study might reach;
- h. The application contains a summary of the contents of the research;
- i. The application contains a timetable for the work, together with a statement of how such a programme will be managed;
- j. Any ethical issues have been fully considered by the appropriate body.

In addition, the will ensure that, where appropriate, adequate consultation is undertaken with external subject specialists; that the proposed supervisory arrangements are satisfactory; that the candidate is suitably qualified; that an appropriate programme of related studies and research training can be provided for the candidate; that thought has been given to any possible need for confidentiality; and that the research is ethically sound (see Research Ethics Handbook of Principles and Procedures, <https://intranet.glos.ac.uk/research/researchethicshb/procedures.htm>).

17.3 Head of Research will inform the student and the supervisor of the decision of the and provide full details of any conditions of approval or further work to be undertaken. When the application is approved by the RDC, the IRO will inform the student and the supervisor formally.

18 CHANGE OF REGISTRATION

18.1 Change of Mode of Study

- a. Application for a change of study from full-time to part-time or vice versa should be made on form RD6 by the student in consultation with the supervisor, and submitted PRC.
- b. The Committee will satisfy itself that the student will be able to commit sufficient time to the project. The student and supervisor of the Committee's decision by the PRC.

18.2 Extension of Registration

Once informed of RD1 approval by the RDC, it is the responsibility of students and supervisors to be aware of deadline for thesis submission.

- a. Application for an extension of registration should be made by the student on form RD3 submitted to the IRO no later than 3 months before the normal maximum registration period is due to end. The supervisor should consult with the student during the final 6 months of the registration period to ascertain whether an application for extension may be required. This should then be discussed with the Head of Research, who has to approve the application for forwarding to the Committee.
- b. Extension is sought in cases where the student is actively engaged upon the research and clearly intends to produce a thesis, but is likely to be unable to submit within the maximum period of registration. The student should seek extension for a specific period.
- c. The Committee will consider the reasons for the delay and decide whether to approve an extension of registration. It may approve a definitive limited to the period of extension.
- d. The IRO will then inform the student and supervisor of the Committee's decision.
- e. During the period of extension, the student is entitled to all the facilities normally available to a registered student. If the extension is for a significant period (normally more than 3 months), The Markfield Institute of Higher Education may levy an appropriate extension fee.

18.3 Temporary De-registration

- a. Application for temporary de-registration should be made by the student on form RD4 to the IRO as soon as it is clear that she/he is unable, for good cause, to continue to be actively engaged upon the research for a significant period, but does intend to resume the research programme at the end of the period of de-registration. The application should be made for a specific period. Six months is the most common period of de-registration sought, but short periods of 3-6 months and for up to 12 months may be granted.
- b. Grounds for de-registration include illness (for which a doctor's certificate must be provided), pregnancy and childbirth, change in employment or family status which precludes the possibility of undertaking any research study. Any event of consequence of an event that prevents the student from undertaking any work upon the thesis for a significant period of time may be considered as grounds for de-registration.

- c. The Committee will decide whether it is likely that the student will be able to complete the work. The PRC will inform the student and the supervisor of the Committee's decision.
- d. Temporary de-registration is a formal status and the student is consequently not entitled to use any Institutes facilities, including the learning centres and research centres, not to receive supervision during the period of de-registration. If a student is in receipt of a Institute Studentship or Departmental/Institute Bursary, payments will be suspended. Should a Studentship or Bursary-funded student seek temporary de-registration which includes a back-dated period of time, then she/he will be required to repay the appropriate portion of the Studentship or Bursary.
- e. When the student is able to resume work on his/her research, she/he must immediately inform the IRO.

18.4 Withdrawal of Registration

- a. Where it becomes clear that the candidate is no longer active on the project and will not complete the work, the supervisor is responsible for initiating the procedure for notification of withdrawal as soon as possible. The supervisor should first advise the student of this course of action and discuss the case with the Head of Research.
- b. The supervisor will submit the standard Markfield Institute of Higher Education form for Notification of Withdrawal/Deferral/Transfer to the IRO which will report it to the Committee.

19 MANAGEMENT OF THE PROGRAMME OF RESEARCH

19.1 Appointment of Supervisors

- a. Head of Research is responsible for nominating the supervisory team, to be identified on the application form RD1. Supervisors who have not previously been approved by the Research Degrees Committee should attach to the RD1 a short CV of no more than 3 pages.
- b. One supervisor will be identified as the first supervisor with responsibility for supervising the candidate on a regular and frequent basis. The first supervisor must be a member of Institutes staff. The second supervisor(s), who may be external to the Markfield Institute of Higher Education, is/are appointed to add subject/methodological expertise or experience to the team. The Head of Research is responsible for initially informing any external supervisor of his/her responsibilities and obtaining his/her agreement in principle to act as second supervisor. When the Committee has approved the supervisory arrangements, the PRC will send a copy of the letter of registration to the first supervisor and any external supervisors.
- c. The supervisory team must have combined experience of supervising to successful completion at least two candidates for research degrees at the level being supervised.
- d. Any proposed internal supervisor without experience of supervising a research degree to completion must have taken at least the three core sessions of the Institute's Supervisors Support Programme before being approved by the Research Degrees Committee as a supervisor.

- e. In addition to the supervisory team, an adviser may be appointed in order to bring further subject specialist or professional expertise on a more ad hoc basis. There is no payment for acting as an adviser, unless the Head of Department or Institute agrees to make payment from her/his budget.

20 CHANGE IN SUPERVISORY ARRANGEMENTS

- a. Application for a change in supervisory arrangements, for whatever reason, is made on form RD5 by the Head of Research in agreement with the supervisor(s) and the student, as soon as it is clear that the original arrangements require changing. The Head of Research submits the form to the IRO for consideration by the Committee. The form must indicate why a change in arrangements is deemed necessary or appropriate.
- b. The IRO will inform the student and the supervisors of the Committee's decision.

21 PROGRESS MONITORING

21.1 Monitoring of Supervision, Academic Performance & Training Needs

A record is required of each formal supervisory session using the form available in all research student offices and on each campus. It is the student's responsibility to initiate and maintain this process. The supervision records will contribute to an annual monitoring process which will establish whether the candidate is actively engaged on the research programme and is maintaining regular and frequent contact with the supervisors. The IRO is responsible for co-ordinating academic monitoring and will send out an annual progress report to each first supervisor towards the end of the academic year.

- Academic performance will be monitored and training needs established through Annual Progress reporting to the Institute Research Committee.
- All candidates and their supervisors, are required to complete annual progress reports .

Failure to submit an annual progress report may result in termination of the research degree programme. Progress reports are read by the Head of Research; other than this reports confidential to the IRO. Where the supervisor is also the Head of Research or the Chair of the Committee, an alternative senior supervisor will receive the relevant reports

On the basis of reports received, the Head of Research compiles a summary report for submission to the Committee and identifies any issues of concern that may require action, including withdrawal from the Markfield Institute of Higher Education in the case of students who fail to make sufficient progress.

21.2 Monitoring of the Research Environment

A key component in the monitoring of the research environment is the articulation of the student perspective through the Research Student Liaison Committee, which is responsible for eliciting student feedback and evaluation of the research environment by the use of appropriate methods such as questionnaires and group meetings. The Chair will report the results of the evaluation exercise to the Committee. S/he is also responsible for acting upon the results of evaluation exercises by making direct contact with the appropriate Institute's body, whether a Faculty, Department, Institute, administrative or support unit, or an individual member of staff.

21.3 Monitoring of Student Welfare: Research Student Advocate

The Advocate for Research Degree Students, whose name may be obtained from the IRO, provides an advisory contact independent of the formal monitoring system. S/he is available to discuss on an individual or group basis issues that a student feels to be particularly sensitive or inappropriate for discussion through the structured evaluation system. The Advocate submits an annual report to the Committee.

22 EXAMINATION ARRANGEMENTS

- 22.1 At least three months prior to the likely submission date, the supervisor should submit to the PRC form RD8 proposing examination arrangements, including full details of the proposed examiners, for consideration by the Committee. A one-page CV should be attached for any external examiner not previously approved by the Committee. The minimum requirement is for two independent examiners, one of whom must be an external examiner. An internal examiner may be appointed and should have subject expertise and be of appropriate standing. The first supervisor is responsible for contacting the proposed examiners to secure their agreement in principle to act as examiners. See Part One, section 11 of this document for requirements relating to examiners.
- 22.2 The IRO will inform the student, the supervisor and the examiners of the Committee's decision relating to the proposed examination arrangements.
- 22.3 When the examination arrangements have been approved by the Committee, the supervisor should contact the examiners to inform them of the likely submission date and to make arrangements for the *viva voce* examination. The candidate should normally be given at least 14 days' notice of the date of the *viva*.
- 22.4 When the examination arrangements have been approved by the Committee, the supervisor should contact the examiners to inform them of the likely submission date and to make arrangements for the *viva voce* examination. The candidate should normally be given at least 14 days notice of the date of the *viva*.

23 EXAMINATION PROCEDURE

See also the relevant sections of Part One of this document.

- 23.1 Once examiners have been approved, the IRO will send letters of appointment to examiners. Copies of the preliminary and final report forms will be sent out with the thesis.

23.2 Preliminary Report

The first stage of the examination is the examiners' independent preliminary assessment of the thesis. The examiners should each compile a preliminary report on the thesis and return this to the IRO at least 7 days before the proposed viva voce examination. The examiners may recommend that the oral examination be postponed to enable the candidate to undertake further work and to represent the thesis. In this latter case, the examiners should specify the grounds for their recommendation and should forward a separate sheet containing guidance for the candidate. The IRO will then forward this along with the preliminary reports to the Committee for a decision

- 23.3 The examiners should bring with them the *viva voce* copies of their own preliminary report for discussion prior to the *viva*.

23.4 Viva Voce Examination

The *viva voce* examination should normally be held in The Markfield Institute of Higher Education, but exceptionally may be held elsewhere, in which case the application for examination arrangements must specify the location. With the permission of the candidate, the candidate's supervisor(s) may be present at the oral examination in a non-speaking capacity. Others may, with the permission of the candidate and agreement of the examiners, be present at the *viva voce* in a non speaking capacity. All the examiners should attend the oral examination.

- 23.5 The purpose of the *viva voce* examination is to assess the candidate and the strengths and weaknesses of the thesis. Examiners should attempt to make the candidate feel at ease throughout the examination.

23.6 Examiners' Report

Following the examination, the examiners should prepare a joint report if they are in agreement about the outcome. Otherwise, separate reports should be submitted. Reports should be submitted to the IRO as soon as possible and normally within one week of the examination, unless there are exceptional circumstances.

23.7 The report should be sufficiently detailed to enable the Committee to reach a well-founded decision and should include the following:

- a. A statement of the purpose of the research;
- b. A brief outline of the methodology;
- c. A summary of the new findings;
- d. An evaluation of the scholarly and literary standard;
- e. A brief report on the candidate's performance in the oral examination;
- f. A clear recommendation on whether to award the degree.

23.8 Notification of Outcome

The report will be submitted to the Committee and the IRO will inform the candidate, the supervisor and the Head of Research of the decision of the Committee. If the Committee has agreed the award, the IRO will submit a copy of the pass list to the Academic Board for approval. A letter will be sent by the IRO to any candidate required to make corrections or amendments to the thesis before the award of the degree can be confirmed.

24 PROCEDURE FOR APPEALS

See Part One of this document for full details of appeals

25 PROCEDURE FOR COMPLAINTS

25.1 The following routes for raising complaints or problematic issues are open to all research students (see section ### 7 above for details of processes):

- a. The biannual progress monitoring exercise coordinated by the IRO;
- b. The evaluation questionnaires circulated by the Chair of the Committee;
- c. Confidential discussion or correspondence with the Advocate for Research Degree Students.

25.2 Complaints relating to supervisory arrangements or practice should be raised with the Head of Research, unless she/he is a member of the supervisory team in which case students should contact either the Chair Research Committee or the Advocate for Research Student Degree Students who will, if appropriate, bring the matter to the attention of the Committee.

- 25.3 Issues relating to resourcing, for example studio space, should, after discussion with the supervisor, be raised with the appropriate budget-holder, normally the Head of Department or Institute, or with the Head of Research.
- 25.4 If a complaint cannot be resolved through the above channels, it can be pursued under the Markfield Institute of Higher Education Student Complaints Committee.

APPENDIX 1

RESPONSIBILITIES OF THE STUDENT

- a. to ensure that s/he completes administrative registration with The Markfield Institute of Higher Education at the start of each academic year and pays the appropriate fee for postgraduate research study;
- b. to ensure that his/her standard of English is satisfactorily maintained or developed for the purposes of undertaking a research degree;
- c. to keep in contact on a regular and frequent basis with his/her supervisors during the period of study, to arrange supervisions and to agree with the first supervisor a programme of contact points during each term;
- d. to maintain the progress of the work in accordance with the stages agreed with the supervisor, including in particular the presentation of written work as required, in sufficient time to allow for comments and discussion before progression to the next stage;
- e. to initiate and maintain the supervisory record process;
- f. to discuss with his/her supervisor the kind of guidance and evaluation considered to be most helpful;
- g. to complete the programme of Research Methods training (unless formal exemption has been given by the FRD), to ensure that appropriate use is made of any programme of related studies undertaken, and to engage in continuing research methods training and researcher development;
- h. to raise any problems or difficulties concerning the progress of the research with the supervisor or the Faculty Research Director, as soon as such problems or difficulties are manifest;
- i. to ensure that s/he understands and fully complies with the Markfield Institute of Higher Education/The University of Gloucestershire principles and procedures relating to ethics;
- j. to provide regular progress reports as requested by the PRC, to attend Progress Boards as required, and to signal via the reports any issues of concern;
- k. to submit drafts of the thesis to the supervisor well before the end of the registration period;

- l. to decide, with appropriate guidance from the supervisor, when to submit the thesis and to notify the supervisor of this; unless otherwise stated in the above procedures, to complete and submit all research degree forms for enrolment, registration and any changes of registration (see appendix 2 for a list of forms);

- m. to ensure that s/he reads thoroughly, and is familiar with, the appropriate regulations and procedures as given in the Handbook of Regulations and Procedures, the Handbook of Research Ethics Principles and Procedures, and any other handbooks relating to research study.

RESPONSIBILITIES OF THE FIRST SUPERVISOR

- a. to give guidance about the nature of research and the standard expected, the planning of the research programme, literature and sources;
- b. in relation to the Research Methods modules (MR401 and MR402) to promote the student's attendance at sessions, to integrate the content of modules into the student's research degree process, to assess satisfactory completion of the agreed assignments.
- c. to regularly review training needs and agree a continuing programme of research training and development;
- d. to be accessible to the student at the agreed and other reasonable times and to try and ensure as far as practicable that supervisory sessions are uninterrupted;
- e. to give detailed advice on the necessary completion dates of successive stages of the work in order to encourage the submission of the thesis within the agreed registration period;
- f. at an early stage in the supervisory relationship to discuss explicitly with the student the expectations concerning possible co-authorship of publications arising from the student's work and to negotiate an agreement on such co-authorship;
- g. to request written work as appropriate and to return such work with constructive criticism and in reasonable time;
- h. to arrange as appropriate for the student to talk about his/her work to staff or research student seminars and if necessary to have practice in oral examinations;
- i. to ensure that the student is made aware of inadequacy of progress or of standards of work below those generally expected, including through the formal processes available;
- j. to undertake those administrative tasks appropriate to the role of supervisor including the provision of regular progress reports on the student's work, as requested by the PRC, and participation in any formal processes required to monitor student progress. These should include a recommendation about whether or not the student should be allowed to continue and whether his/her registration status should be changed;
- k. to propose to The Markfield Institute of Higher Education Research Committee the names of examiners for the thesis, to make arrangements for the *viva voce* examination and to inform the PRC and the student in writing of the agreed date for the *viva voce* normally at least one month in advance of that date;
- l. to alert the PRC if at any time s/he considers that the student is unlikely to achieve the degree for which s/he is registered;
- m. to read and give constructive comments and advice on the content and presentation of drafts of any thesis well before the end of the registration period;
- n. to ensure that s/he reads thoroughly, and is familiar with, appropriate regulations, codes of practice and handbooks relating to research study.

RESPONSIBILITIES OF THE SECOND SUPERVISOR

In addition to the responsibilities set out above and Part One of this document, it is the responsibility of the second supervisor:

- a. to be in contact with sufficient frequency to form an opinion on the student's progress, or lack of progress, it being the student's responsibility to initiate such contact;
- b. in consultation with the first supervisor to provide subject specialist advice and/or general guidance to the student concerning the nature of research and the standard expected;
- c. to provide the required annual progress report on the student's work, including any recommendations concerning the registration, as requested by the PRC.

Note: External second supervisors will be paid an annual fee each autumn for each full year of supervision, upon receipt of their annual progress report. The rate of payment is determined by following the current practice at the University of Gloucestershire .

APPENDIX 2

LIST OF FORMS

RD Forms

RDA	Preliminary application for research degree
RD1	Application to register for a research degree
RD2	Application for transfer of registration
RD3	Application for extension of period of registration
RD4	Application for temporary de-registration
RD5	Application for change in approved arrangements for supervision
RD6	Application for change in approved mode of study
RD7	Application for change in programme of research
RD8	Application for approval of examination arrangements
RD9	Examiner's preliminary report and recommendation on a thesis submitted for MA/MSc by Research/ MRes
RD10	Examiner's preliminary report and recommendation on a thesis submitted for MPhil
RD11	Examiner's preliminary report and recommendation on a thesis submitted for Doctorate
RD12A	Examiners' report on a candidate for the degree of MA/MSc by Research/MRes
RD12B	Examiners' report on a candidate for the degree of MA/MSc by Research / MRes without Viva
RD13	Examiners' report on a candidate for the degree of MPhil
RD14	Examiners' report on a candidate for the degree of Doctor
RD15	Research degrees candidature form Other forms Author's declaration (to be Submitted with initial thesis) British Library Doctoral Thesis Agreement form (to be submitted with final thesis)

Most forms are available in electronic form from the IRO via email, or can be downloaded from the Research Degree pages of The Markfield Institute of Higher Education and the University of Gloucestershire website.

IRO

June 2009