



Manchester
Metropolitan
University

**CODE OF PRACTICE AND REGULATIONS
FOR
POSTGRADUATE RESEARCH
PROGRAMMES
OF THE UNIVERSITY**

Academic Board

Research Degrees Committee

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CODE OF PRACTICE AND REGULATIONS
FOR
POSTGRADUATE RESEARCH
PROGRAMMES
OF THE UNIVERSITY

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Preface

This Code of Practice and Regulations for Postgraduate Research Programmes has been created so as to ensure that Manchester Metropolitan University's practices and procedures regarding research degree students are clearly consistent with national guidelines, in particular those provided by the Quality Assurance Agency for Higher Education's Code of Practice for Postgraduate Research Programmes as expressed through that Code's 27 precepts.

We welcome comments on the Code of Practice or its operation. These should be addressed to the Research Degrees Manager in the Research, Enterprise and Development (RED) Office.

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INTRODUCTION

Manchester Metropolitan University has a vibrant and supportive research culture, as recognised by the audits of its provision, in particular that by the ESRC and the Quality Assurance Agency for HE. The university's practices and procedures for supporting research students have previously been provided through three publications; the Research Student's Handbook, Guidelines for Research Supervisor's and the Regulations for Research Degrees of the University. However, it is necessary to clarify those elements of these publications that represent a code of practice for the university, our research students, their supervisory and examination teams, hence this document.

The Code of Practice provides guidance of the procedures to the various stages of the postgraduate research study at Manchester Metropolitan University, from application through to conferment of the award. It incorporates recommendations made by the university's Academic Board and its Research Degrees Committee as well as from Faculty Research Degrees Committees. In addition, it emphasises good practice as identified through a series of research supervisor and research student workshops and significantly, the 27 precepts identified by the Quality Assurance Agency for Higher Education's Code of Practice. It is intended that research students and their supervisory teams will make full use of this Code in ensuring that effective and efficient progress is made in their research programmes.

Further copies of the Code can be found on the RED Office Webpage at: http://www.red.mmu.ac.uk/?page_parent=4&page_id=146

DEFINITIONS OF RESEARCH DEGREES

MASTERS LEVEL

Much of the study undertaken at Masters level will have been at, or informed by, the forefront of an academic or professional discipline. Students will have demonstrated originality in the application of knowledge, and they will understand how the boundaries of knowledge are advanced through research. They will be able to deal with complex issues both systematically and creatively, and they will show originality in tackling and solving problems.

They will have the qualities needed for employment in circumstances requiring sound judgement, personal responsibility and initiative, in complex and unpredictable professional environments.

Master of Research (MRes)

The Master of Research degree is a one-year full-time (two-year part-time) course which aims to provide advanced training in research methods.

Master's by Research (MA/MSc/LLM)

Master's degrees gained by research are taken by candidates with Honours degrees (or equivalent) and last at least one year (if taken full-time).

Master of Philosophy (MPhil)

Longer research-based programmes lead to the degree of Master of Philosophy. They are taken by candidates with good Honours degrees and studied over at least eighteen months of full-time study.

DOCTORAL LEVEL

Doctorates are awarded for the creation and interpretation of knowledge, which extends the forefront of a discipline, usually through original research and critical thinking. Holders of doctorates will be able to conceptualise, design and implement projects for the generation of significant new knowledge and/or understanding.

Holders of doctorates will have the qualities needed for employment requiring the ability to make informed judgements on complex issues in specialist fields, and innovation in tackling and solving problems.

Doctor of Philosophy (PhD)

The degree of Doctor of Philosophy is taken by candidates with a good Honours degree and who have studied an appropriate topic for at least thirty-three months of full-time study.

There are three alternative routes for candidates who wish to undertake a PhD. Route 1 and 2 are for published work (see appendix 4 & 5). Route 3 is by practice (see appendix 6).

Doctor of Engineering (EngD)

The degree of Doctor of Engineering is taken by candidates with a good Honours degree. The programme includes both a taught and a research element and is studied over at least forty-two months of full-time study.

Doctor of Education (EdD)

The degree of Doctor of Education is taken by candidates with a Master's degree. The programme includes both a taught and a research element, which focuses on professional education practice, and is studied over at least 54 months part-time study.

Professional Doctorate Programme in Health

The professional doctorate programme in health is taken by candidates with an appropriate master's degree. The programme includes both a taught and a research element, which focuses on professional clinical or health-related practice, and is studied over at least 54 months part-time study.

Professional Doctorate Programme in Business and Management

The professional doctorate programme in business and management is taken by candidates with a Master's degree. The programme includes both a taught and a research element, which focuses on professional business practice, and is studied over at least 54 months part-time study.

CODE OF PRACTICE AND REGULATIONS FOR POSTGRADUATE RESEARCH PROGRAMMES OF THE UNIVERSITY

1 Scope of Regulations

These regulations apply solely to the research degrees of the University specified in paragraph 2 below.

2 Awards

The Academic Board may on behalf of the University grant the following research degrees to candidates who successfully complete approved programmes of supervised research and who have been registered for a research degree:

Master of Research (MRes)
Master of Arts (by research) (MA)
Master of Laws (by research) (LLM)
Master of Science (by research) (MSc)
Master of Philosophy (MPhil)
Doctor of Philosophy (PhD)
Doctor of Engineering (EngD)

The Doctor of Education (EdD) has five named pathways:

- Doctor of Education
- Doctor of Education: Early Years Education
- Doctor of Education: Health Care Studies
- Doctor of Education: Inclusive Learning
- Doctor of Education: Leading and Managing Learning Institutions

Interim exit award:

- Master of Arts: Professional Studies in Education

The Professional Doctorate Programme in Health has ten named awards:

- Doctor of Nursing (DNurse)
- Doctor of Community Health (DCommHealth)

- Doctor of Physiotherapy (DPT)
- Doctor of Speech and Language Therapy (DSLTL)
- Doctor of Counselling (DCounsel)
- Doctor of Social Care (DSocCare)
- Doctor of Biomedical Science (DBMS)
- Doctor of Dental Technology (DDenTech)
- Doctor of Clinical Physiology (DClinPhys)
- Doctor of Health (DHealth)

Interim exit award:

- Master of Arts: Professional Practice

The Professional Doctorate Programme in Business and Management has eight named awards:

- Doctor of Business Administration (DBA)
- Doctor of Accounting and Finance
- Doctor of Entrepreneurship
- Doctor of Human Resource Management
- Doctor of International Business
- Doctor of Marketing
- Doctor of Organisational Behaviour
- Doctor of Strategic Management

Interim exit awards:

- Master of Arts: Professional Management
- Postgraduate Diploma in Research
- Postgraduate Certificate in Research

Such other research degrees that may be approved from time to time by Academic Board

3 **Programmes of Research**

Programmes of research may be proposed in any field of study subject to the requirement that the proposed programme is capable of leading to scholarly research,

its presentation in the form of a submission, which may comprise a written submission or equivalent for assessment by appropriate examiners and providing the University has sufficient staff expertise in the field. In addition to the submission, other material may be produced for assessment. All proposed research programmes shall be considered for research degree registration on their academic merits and without reference to the concerns or interests of any associated funding body.

4 **Programmes Leading to Higher Degrees**

A Master's degree (by research) may be achieved by a candidate who has successfully followed and completed a programme of research together with a taught programme, either: approved on an individual basis by the relevant Faculty Research Degrees Committee; or organised by one or more faculties of the University and approved by the Academic Board as satisfying the requirements for the award of a Master's degree.

5 **Approval of Programmes Leading to a Research Degree Organised by one or more Faculties**

The Academic Board Research Degrees Committee may approve a programme of research together with a taught programme leading to the award of a higher degree organised through one or more faculties. The form of this association shall be approved by the Academic Director in determining the validation arrangements for the programme.

It is compulsory for all students without appropriate prior training to undertake a research training programme which includes the following:

- i) key skills
- ii) research methodologies
- iii) intellectual advancement

(Note: Regulation 18.2 provides for certain candidates to be exempted from parts of the training programme.)

6 **Research Degrees Committee Deemed to be Board of Examiners**

For the purpose of satisfying the provisions of these Regulations for the conferment of the awards of the University, the Research Degrees Committee of the Academic Board shall of itself be deemed to be the relevant Board of Examiners provided for in

these Regulations which shall make recommendations to the Academic Board for the conferment of research awards, subject to the conduct of examinations by examiners as provided in these Regulations below.

7 **Admissions Procedures**

7.1 All candidates must complete the University application form and have a formal interview. The interview panel should be comprised of the Departmental Research Degrees Co-ordinator and Head of Department or nominees. Candidates must provide two academic references.

7.2 Overseas students who are studying in the natural sciences, particularly science, technology, engineering and health related research must comply with the Foreign and Commonwealth Office Immigration Rules, which state that postgraduate research students must have an ATAS (Academic Technology Approval Scheme) certificate before they apply for a visa, or an extension of stay.

8 **Enrolment and Pre-registration Procedures**

8.1 In order to apply for full registration all students must enrol with the University (and then re-enrol at the start of each new academic year), complete the pre-registration form and pay the appropriate fees.

8.2 Overseas students are required to attend pre-enrolment sessions before they will be permitted to enrol with the University.

8.3 At enrolment, qualifications and certificates **must** be checked by the appropriate Research Degrees Co-ordinator and Head of Faculty and Campus Administration (or nominee). For qualification requirements see regulation 20. For overseas candidates, the level of qualification should be checked with UK NARIC (the National Agency responsible for providing information and expert opinion on vocational, academic and professional skills and qualifications) and they must normally have the appropriate level and standard of English Language with the minimum IELTS score of 6.5 (or equivalent) with no element below 6.0.

8.4 Candidates must complete the pre-registration form at the same time as enrolment. This will need to be approved by the relevant Chair of the Faculty Research Degrees Committee.

8.5 All candidates **must** complete the full registration within 3 months (for full-time students) and 6 months (for part-time students) of enrolment and pre-registration unless they have special dispensation from the Faculty Research Degrees Committee.

8.6 Students cannot submit a thesis if they have not enrolled and registered with the University. All students **must** have an annual review otherwise they will **not** be permitted to re-enrol with the University at the start of the new academic year.

9 **Induction**

9.1 Both full-time and part-time research students are required to attend a compulsory University Research Induction Day. Faculties and supervisory teams provide their own induction programmes that are complementary to the University programme. Students who fail to attend the compulsory University Research Induction will not be permitted to re-enrol with the University until satisfactory engagement with an induction day has been recorded.

9.2 Research students will be provided with a Personal Development Portfolio (PDP) at induction. They will be required to use the PDP to maintain a record of their annual reviews, skills audit, and both their professional and educational activities. This will be used as a basis for discussion at the annual review (see regulation 28.2)

10 **Application for Registration**

10.1 An application for registration for a research degree under the aegis of the relevant Faculty Research Degrees Committee shall be submitted to the Faculty Research Degrees Administrator in accordance with the provisions of these Regulations. Registration **must** take place within 3 months of enrolment for full-time students and 6 months for part-time students. Under exceptional circumstances where students are prevented from submitting their application for registration within the specified time

limit they must obtain special dispensation from the relevant Research Degrees Committee.

- 10.2 An application for registration for a PhD by Published Work under the aegis of the Academic Board Research Degrees Committee shall be submitted to the University Research Degrees Manager in accordance with the provisions of the Regulations. (There are specific guidelines for candidates wishing to take a PhD by Published Work - see Appendices 4 & 5 and for PhD by Practice – see appendix 6).
- 10.3 The application may be for registration on a full-time or a part-time basis. To be regarded as full-time, a candidate shall normally devote on average at least 35 hours per week to the research; a part-time candidate on average at least 12 hours per week. Full-time candidates shall be permitted 35 days annual leave each year which must be negotiated with their Director of Studies.
- 10.4 All candidates must complete the appropriate RD1 form. The application shall include details of the candidate's qualifications, the proposed title and aims of the research programme and an outline of the proposed plan of work; any proposed co-operation or formal collaboration with external bodies, the supporting programme, and the supervisory team. Before submission to the Faculty Research Degrees Committee the Research Degrees Co-ordinator will approve the application.
- 10.5 The application must be supported by the Research Degrees Co-ordinator and the relevant Head of the Department (or equivalent) in which the research programme will be substantially carried out within the University. The Research Degrees Co-ordinator will check the Application form (RD1) and confirm that ethical approval is obtained and risk implications are checked and the Head of Department (or equivalent) shall be required to confirm that any necessary resources are available to support the programme. The implications of any disability or particular learning need will also be addressed at this stage (see regulation 19).

- 10.6 The programme of research as outlined in the application for registration must be such as to enable the relevant Research Degrees Committee to judge whether the proposed programme is feasible and capable of leading to scholarly research.
- 10.7 The relevant Research Degrees Committee may permit a candidate to register for another course of study concurrently with the research degree registration, provided that either the research degree registration or the other course of study is part-time and that, in the opinion of the Research Degrees Committee, the dual registration will not detract from the research.
- 10.8 Candidates who are transferring in from another institution must also complete the application for registration (see also regulation 27.6).
- 10.9 For research degree candidates who propose to focus their research programme wholly or partly overseas the relevant Research Degrees Committee may request an addendum to their research degree proposal which contextualises the study. The contextual statement may explain, for example, the socio-politico-geographical-ethnographic-economic circumstances at the site(s) of the proposed research programme or other factors which will assist the Committee in making a decision about the appropriateness and feasibility of the proposed research programme. The addendum should be submitted along with the research degree proposal and should be no longer than one side of A4.
- 11 **Ethics and Governance**
- 11.1 The relevant Research Degrees Committee will only permit registration if they have assurances that any ethical issues related to the project have been approved by the relevant Ethics Committee (see appendix 3). The Committee will also need to be notified in writing if any ethical issues develop during the course of the research.
- 11.2 If working with the NHS, research students will need to ensure that they are compliant with the research governance framework (see appendix 3).

- 12 **Research Programme Involving Candidate's Creative Work**
- 12.1 A candidate may undertake a programme of research in which the candidate's own creative work forms a significant part of the intellectual enquiry. Such creative work may be in any field (for instance, fine art, design, engineering and technology, architecture, creative writing, musical composition, film, dance and performance), but shall have been undertaken as part of the registered research programme. See appendix 4 and 5 for PhD by Published work and appendix 6 for PhD by Practice. The form of the submission and the proposed methods of assessment shall be set out in the application for registration.
- 12.2 In the presentation of the thesis the relationship between the creative submission and written thesis should remain clear and be set in its relevant theoretical, historical, critical or design context. The thesis itself shall conform to the usual scholarly requirements and be of an appropriate length (see regulation 43.3).
- 12.3 The final submission shall be accompanied by some permanent record (for instance, audio, video, photographic, musical score, diagrammatic representation, novel or poetry collection) of the creative work, and where practicable this shall be bound within the thesis.
- 13 **Research Programme Involving Preparation of a Scholarly Edition of a Text or Texts, Musical or Choreographic Work, or Other Original Artefacts**
- 13.1 A candidate may undertake a programme of research in which the principal focus is the preparation of a scholarly edition of a text or texts, musical or choreographic work, or other original artefacts.
- 13.2 The final submission shall include a copy of the edited text(s) or collection of artefact(s), appropriate textual and explanatory annotations, and a substantial introduction and critical commentary which set the text in the relevant historical, theoretical or critical context. See appendix 4 and 5 for PhD by Published work and appendix 6 for PhD by Practice.

14 **Co-operation with External Bodies**

A research degree project may involve informal or formal co-operation with one or more bodies external to the University. In the case of formal co-operation, the body or bodies involved are hereinafter referred to as the Collaborating Establishment(s). Formal collaboration normally involves the candidate's use of facilities and other resources, which may include supervision, and which are provided jointly by the University and the Collaborating Establishment. Where formal collaboration is proposed, confirmation from the Collaborating Establishment of the agreed arrangements should be included in the application, except where collaboration is an integral part of the project (as for instance in the case of Research Council awards). The nature and extent of the financial and/or other support must be clarified on the RD1 form. This shall include permission for access for research subjects and to use any outcomes from the work in publications, including the thesis.

15 **Research Work Substantially Outside the University**

The relevant Research Degrees Committee may approve an application from a person proposing to work substantially outside the University, provided that:

- (i) there is satisfactory evidence as to the facilities available for the research both within and outside the University;
- (ii) the arrangements proposed for supervision provide for frequent and substantial contact between the candidate and the supervisor(s) based in the University, including adequate face-to-face contact with the supervisor(s). The candidate should spend an appropriate period of time at the University;
- (iii) adequate provision is made for contact with other researchers.

16 **Research Project Forming Part of a Larger Group Project**

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

17 **Externally Funded Research Projects**

- 17.1 Where a research degree project is part of a piece of funded research, the relevant Research Degrees Committee shall establish to its satisfaction that the terms on which the research is funded do not detract from the fulfilment of the objectives and requirements of the candidate's research degree.
- 17.2 In exceptional circumstances where the student requires a suspension or extension to the period of registration, then approval **must** in the first instance be sought from the relevant funding body.

18 **Supporting Programme**

- 18.1 A candidate shall normally follow an approved supporting programme (equivalent to two weeks per year) in order to attain competence in research methods and knowledge related to the subject of the thesis. The programme shall be intended to provide such skills as agreed at assessment / enrolment as follows:
- (i) the candidate with the skills and knowledge necessary for the pursuit of the proposed research;
 - (ii) a body of knowledge normally associated with a degree in the field of study of the proposed research;
 - (iii) breadth of knowledge in the related subjects;
 - (iv) key transferable skills;
 - (v) employment related skills.
- 18.2 A candidate for Masters (by Research), MPhil or PhD may be exempted from such a programme if the candidate can show evidence of prior formal training at Postgraduate level (see regulation 5).
- 18.3 A candidate for any research degree must satisfactorily complete the assessed programme of supporting studies if the programme has formal assessment.
- 18.4 Where an approved supporting programme includes a programme of studies leading to another award and a candidate is registered for that programme and fulfils all its

requirements, they may be recommended for that award in addition to the research degree.

19 **Candidates who have a Disability or other Learning Needs**

19.1 Candidates who identify a disability or other learning need that requires modifications to the approved programme will be referred to the University's Learning Support Unit for a Personal Development Plan. The implications of such a plan will be discussed with the candidate and the supervisor. The University has produced guidelines within the regulations for taught postgraduate programmes (a copy of which is in appendix 11) on examination and assessment arrangements for disabled students and students with learning difficulties. These should be followed in so far as they can be applied to research degree students having regard for the standard of the award and the programme thesis requirements.

20 **Qualifications for Registration**

20.1 An applicant for registration for a research degree under these regulations shall normally hold a first or second class honours degree of a UK University or a qualification which is regarded by the relevant Research Degrees Committee as equivalent to an honours degree such as professional qualifications.

20.2 An applicant holding other qualifications shall be considered on their merits and in relation to the nature and scope of the programme of work proposed. In considering such applicants, the relevant Research Degrees Committee shall look for evidence of the candidate's ability and background knowledge in relation to the proposed research. Professional experience, publications, written reports or other appropriate evidence of accomplishment shall be taken into consideration. The relevant Research Degrees Committee may require an applicant to pass an externally assessed qualifying examination (written or oral) at final year honours degree level before registration is approved. An applicant wishing to be considered under this Regulation shall provide the names of two suitable persons, independent of the supervisory team, whom the University may consult concerning the candidate's academic attainment and fitness for research.

20.3 In exceptional circumstances, direct registration for the degree of PhD may be permitted to an applicant who holds a Master's degree awarded by a UK University or an overseas Master's degree of equivalent standard, provided that the Master's Degree is in a discipline which is appropriate to the proposed research and that it included training in research and the execution of a research project, which the Committee deems to be satisfactory. The Committee will require evidence as to the appropriateness of the Master's thesis to the proposed research. The relevant Research Degrees Committee may also register for PhD direct a candidate who, although lacking a Master's degree, has a good honours degree (or equivalent) in an appropriate discipline and has had appropriate research or professional experience at postgraduate level which has resulted in published work, written reports or other appropriate evidence of accomplishment.

20.4 The relevant Research Degrees Committee shall satisfy itself by the time of registration that the candidate has sufficient command of the English language to complete satisfactorily the programme of work and to prepare and defend a thesis in English (the minimum requirement is normally IELTS 7). Notwithstanding this requirement, the Committee may give permission, in exceptional circumstances, where the nature of the research makes it more appropriate, and providing there is a suitable and credible examination team, for a thesis to be presented and defended in another language. Such permission shall normally be sought in the candidate's initial application. A detailed abstract and précis must be submitted in English. In such circumstances the application for registration must in the first instance be considered by the Academic Board Research Degrees Committee (see also regulation 43.1).

21 **Registration Subject to Approval by Research Degrees Committee**

Registration may only take place following approval, by the relevant Research Degrees Committee, of the application for registration. In approving an application, the relevant Research Degrees Committee shall in particular satisfy itself that:

- (i) the candidate is suitably qualified;
- (ii) the candidate is embarking on a feasible research programme;
- (iii) supervisors should be suitably qualified and experienced;

- (iv) appropriate facilities for the conduct of scholarly research in the area of the research programme are available and have been confirmed by the relevant budget holder ie., Head of Department and/or Research Institute Director;
- (v) that any required ethical approval has been obtained.

22 Approval Subject to Completion of Appropriate Forms

Approval of registration, transfer of registration, modifications to arrangements approved at registration and approval of examiners, is subject in all cases to the completion of the appropriate form (see appendix 6).

23 Transfer of Registration from Master's Degree (by Research) to MPhil and MPhil to PhD

23.1 A candidate registered initially for a Master's degree (by research) who wishes to transfer to MPhil may apply to the Research Degrees Committee when they have made such progress on the work as to provide evidence that it is capable of development to MPhil (normally after 6 months of full-time study or the part-time equivalent).

23.2 A candidate registered for MPhil who wishes to transfer to PhD may apply to the relevant Research Degrees Committee when they have made sufficient progress on the work to provide evidence of the development to PhD (normally after 12 months of full-time study or the part-time equivalent).

23.3 In support of an application for transfer, the candidate shall prepare for the relevant Research Degrees Committee a transfer report in accordance with requirements prescribed by the Committee, details of which shall be made available to all candidates. The application for transfer must be supported by the candidate's supervisory team.

23.4 Before approving transfer from Master's degree (by research) to MPhil or from MPhil to PhD, the relevant Research Degrees Committee shall be satisfied that the candidate has made sufficient progress and that the proposed programme provides a suitable basis for work at the standard to which the candidate wishes to transfer and which the

candidate is capable of pursuing to completion. An oral assessment may be used by the Research Degrees Committee as part of its assessment of the case for transfer.

24 **Transfer of Registration from Master's Degree (by Research) to PhD**

24.1 A candidate registered initially for a Master's degree (by research) under the aegis of the relevant Research Degrees Committee may exceptionally apply to transfer direct to PhD. The application must be accompanied by a transfer report which must include a statement of the intended further work, including details of the contribution to knowledge which is likely to emerge.

24.2 Before approving such a transfer from Master's degree (by research) to PhD, the relevant Faculty Research Degrees Committee shall satisfy itself that the transfer report presented is of Master's standard and that the proposed programme provides a suitable basis for work at PhD standard which the candidate is capable of pursuing to completion. An oral or other appropriate assessment may be used by the relevant Research Degrees Committee as part of its assessment of the case for transfer.

25 **Transfer of Registration from MPhil to Master's (by Research) or PhD to MPhil**

A candidate who is registered for the degree either of MPhil or PhD and who is unable to complete the approved programme of work may, at any time prior to the submission of the thesis for examination, apply to the relevant Research Degrees Committee for the registration to transfer, in the case of an MPhil candidate, to that of Master's degree (by research) or, in the case of a PhD candidate, to MPhil.

26 **Withdrawal of Registration**

26.1 It is the responsibility of the candidate to maintain contact with his/her supervisors and re-enrol with the University on an annual basis, at the start of each new academic year. If a student fails to re-enrol with the University by the 15th October each year, they will be deemed to have withdrawn themselves from the programme and their registration for the award and with the University will be cancelled.

26.2 Supervisors **must** inform the Faculty Research Degrees Administrator if they have not heard from the student for 3 months. The Faculty Research Degrees Administrator will

send a letter to the student (copied to their email address) and if a response is not received back from the student, a second letter (and email) will be sent after one month. If the candidate fails to respond to the second letter they will be automatically withdrawn from the University by the relevant Research Degrees Committee.

- 26.3 Where a candidate has discontinued the research, the withdrawal of registration shall be notified to the relevant Faculty Research Degrees Administrator or the Research Degrees Manager in the case of PhD by Published Work.

27 **Registration Period and Fees**

- 27.1 The registration period commences on a date determined by the relevant Faculty Research Degrees Committee, including any backdating approved by the Committee. The thesis **must** be submitted by the thesis submission date. The registration period continues until the conferment of award date but no further tuition fees will be required after the submission of the thesis. Where a candidate is unsuccessful on first examination and is permitted a re-examination, the registration period will continue on the same basis as for first examination. Students (or their funding body) will be expected to pay the full fees until the thesis submission date.

- 27.3 Registration may be backdated by up to six months for part-time students and three months for full-time students from the date of receipt of the application for registration by the relevant Faculty Research Degrees Administrator or to the Research Degrees Manager in the case of PhD by Published Work. Longer periods of backdating may be permitted in exceptional circumstances at the discretion of the relevant Research Degrees Committee.

- 27.4 If a student fails to submit their thesis by the submission date then they will be required to pay a non-submission fee.

- 27.5 Current fees are published on the research degrees website at the following URL:
<http://www.mmu.ac.uk/study/postgraduate/fees/>

- 27.6 The thesis submission dates and the conferment of award dates are as follows:

	Submission Date	Conferment Date
Master of Research (MRes)		
full-time	12 months	24 months
part-time	24 months	36 months
Master's degree (by research)		
full-time	12 months	24 months
part-time	24 months	36 months
MPhil (via transfer from Master's degree (by research) or where possibility of transfer to PhD is not exercised).		
full-time	18 months	30 months
part-time	36 months	48 months
PhD (via transfer from Master's degree (by research) or MPhil and including any period of Master's degree (by research) and/or MPhil registration) and other doctorates unless otherwise specified.		
full-time	36 months	48 months
part-time	72 months	84 months
PhD (by Published Work - route 1)		
full-time	24 months	36 months
part-time	48 months	60 months
PhD (by Published work - route 2)		
full-time	6 months	18 months
part-time	12 months	24 months
PhD (direct or by Practice - route 3)		
full-time	36 months	48 months
part-time	72 months	84 months

Professional doctorate		
full-time	36 months	48 months
part-time	54 months	66 months
EngD		
full-time	42 months	54 months
part-time	54 months	66 months

- 27.7 Where a candidate has previously undertaken research as a registered candidate for a research degree, for instance, if a candidate transfers institutions then the relevant Faculty Research Degrees Committee may approve a shorter than usual registration period which takes account of all or part of the time already spent by the candidate on such research. The candidate must complete the normal registration procedures and submit the RD1 to the relevant Research Degrees Committee indicating the duration of the research undertaken and progress to date to enable the Committee to make a judgement on the registration period.
- 27.8 Where there is evidence that the research is proceeding exceptionally well, the relevant Research Degrees Committee may approve a shorter minimum period of registration. An application for such shortening should be submitted at the same time as the application for approval of examiners.
- 27.9 In exceptional circumstances, where the research is taking longer than expected an application **must** be made to the relevant Research Degrees Committee for the extension of a candidate's submission date. Documentary evidence **must** be submitted together with the application for an extension and it must also be accompanied by evidence of the candidate's progress, normally in the form of completed chapters of the candidate's thesis otherwise the extension **will not** be approved. During this extension period a non-submission fee **must** be paid to the University.
- 27.10 Where the candidate is prevented by extraneous matters, ill-health or other cause, from making progress with the research, an application for suspension of the registration,

for periods of not more than one year at a time, may be made to the relevant Research Degrees Committee. Documentary evidence **must** accompany the application in all cases otherwise the suspension of registration will not be approved.

27.11 Applications for suspension will **not** normally be permitted retrospectively or backdated by more than one month. **Only** in exceptional circumstances will requests for backdating beyond one month be considered and in all cases the application for approval **must** be submitted to the University Research Degrees Committee

27.12 Where a student is on a studentship and is either funded internally or by an external funding body or sponsor, the student in the first instance, must obtain approval from the funder to either extend their submission date or to suspend their studies.

27.13 Where a candidate changes from full-time to part-time study or vice versa, the submission date and conferment date will be re-calculated accordingly. Notification of such a change **must** be made to the Faculty Research Degrees Administrator or to the Research Degrees Manager in the case of PhD by Published Work.

27.14 Where it is judged that a candidate has had a number of suspensions or extensions and that significant progress has not been made on the research then the relevant Research Degrees Committee may terminate the registration. Candidates will normally be withdrawn by the Faculty Research Degree Committee if the period of suspension continues for more than two continuous years.

28 **Annual Progress Review and Monitoring Exercise**

28.1 There shall be an annual review for all candidates undertaking a research degree during their period of registration on the progress of their research. This will be carried out by a reviewer who is independent from the supervisory team. The annual review shall establish whether the candidate is actively engaged on the research programme, making satisfactory progress with the research, maintaining regular/frequent contact with the supervisory team, identify skills achieved to date and discuss any future developmental requirements by the candidate as recorded in the Personal Development Portfolio (see regulation 9.2).

- 28.2 In the event that the annual progress review is deemed to lack evidence of satisfactory progress, the Independent Reviewer in consultation with the Director of Studies may recommend to the relevant Research Degrees Committee the termination of the registration or if appropriate the consideration of a lower level award.
- 28.3 All students **must** have a satisfactory annual review otherwise they will **not** be permitted to re-enrol with the University at the start of the new academic year.
- 28.4 The relevant Research Degrees Committee shall submit an annual monitoring report to the Academic Board Research Degrees Committee to help identify any areas where the Committee may be able to seek improvements to the support and general academic environment for research students and supervisors. The report will identify both the positive and negative comments made by students during the annual monitoring exercise. Where any negative comments have been made a response must be made within the report on the action taken.
- 28.5 The University will monitor on an annual basis the success of research programmes and, where possible, will obtain the following statistical information from faculties:
- i) Submission and completion times and rates;
 - ii) pass, referral and fail rates;
 - iii) withdrawal rates;
 - iv) the number of appeals and complaints;
 - v) analysis of comments from examiners;
 - vi) recruitment profiles;
 - vii) employment destinations.

29 **Complaints and Appeals Procedure**

- 29.1 The University's student's complaints procedure can be found in the Student Handbook and also on the RED Office website at:
http://www.red.mmu.ac.uk/?page_id=309

29.2 For details of the appeals procedure and how to request a review of an examination decision see the RED office website: http://www.red.mmu.ac.uk/?page_id=309

30 **Supervision**

30.1 A research degree candidate shall be supervised by a supervisory team (excluding PhD by Published Work (Route 2)), which shall include a Director of Studies and at least one additional supervisor. The supervisory team should not include anyone who has a close personal relationship with the student.

30.2 A supervisory team shall normally have had a combined experience of supervising at least three candidates to successful completion of a UK research degree at a comparable or higher level to the award for which a candidate is applying. Supervisors' without completed supervisions or academic staff new to the University **must** attend an appropriate research supervisors' workshop and experience mentoring within an existing supervisory team. An academic supervisor may be external to the University.

30.3 The Director of Studies, **must** be a member of academic staff of the University. They have responsibility to the relevant Research Degrees Committee for the administration of the project. Where a Director of Studies has no completed supervisions they **must** attend an appropriate research supervisors' workshop and be mentored by the supervisory team.

30.4 In addition to the supervisors, an adviser or advisers may be proposed to contribute some specialised knowledge or to make a link with an external organisation. A mentor may also be appointed to supervisory teams to provide additional experience and support to the supervisory team.

30.5 A candidate for a research degree shall be ineligible to act as Director of Studies for another research degree candidate but may in exceptional circumstances act as a supervisor or adviser.

- 30.6 The supervisory team as a whole would normally be expected to meet with the student on a regular basis.
- 30.7 The relevant Research Degrees Committee shall determine the number of concurrent supervisions normally permitted for members of staff acting as a supervisor. The limit for members of staff acting as Director of Studies shall normally be 6 students. The Committee shall ensure that an individual member of staff is able to carry a particular load and that this does not reach a level where it might disadvantage a student.
- 30.8 Any proposal for a change in supervision arrangements shall be made to the relevant Research Degrees Committee.
- 30.9 If a candidate is dissatisfied with their supervision arrangements, this should be raised through the complaints procedure or at the annual review.
- 30.10 Appropriate records of formal supervisory meetings **must** be maintained by both the supervisory team and the student. Students will normally be required to present records of the supervisory meetings and appropriate action points as part of the annual review process (see regulation 28.1).
- 31 **Research Misconduct**
- 31.1 Where evidence arises of research misconduct on the part of the student or the supervisor, the University will deal with this according to its guidelines (see appendix 2).
- 32 **The Examiners**
- 32.1 A candidate shall be examined by one external examiner (two for a member of University staff – see regulation 32.8) and one independent internal examiner. A member of University staff will not have an internal examiner.
- 32.2 An independent Chair shall be appointed who will be responsible for solely chairing the examination and ensuring the associated administration of the viva is completed satisfactorily. The Chair will not examine the thesis.

- 32.3 The Academic Board Research Degrees Committee shall appoint the examination team. The Director of Studies shall propose the examiners and submit the RD6 form initially to the Faculty Research Degrees Committee. Following consideration by the Faculty the RD6 will be sent to the Academic Board Research Degrees Committee for approval, at least three months before the expected date of the examination. The examination shall not take place until the examiners have been appointed by the Committee. In special circumstances, the Academic Board Research Degrees Committee may act directly to appoint examiners and arrange the examination of a candidate. Where an examination cannot be held within a reasonable period of time because of the unavailability of an examiner, the Academic Board Research Degrees Committee may rescind the appointment of all or any of the examiners and appoint new examiners as appropriate.
- 32.4 For the appointment of examiners for the MRes or part A of the professional doctorate programmes, the TREE1 form should be completed and submitted for first consideration to the Faculty Research Degrees Committee and then for approval to the Academic Board Research Degrees Committee. The TREE1 form can be obtained from: <http://www.mmu.ac.uk/academic/examiner.php>
- 32.5 The candidate shall take no part in the appointment of examiners and shall have no formal contact with the external examiner(s) between the appointment of the examiners and the oral examination.
- 32.6 All persons who act as an examiner shall declare any potential conflict of interest.
- 32.7 An independent internal examiner shall be defined as an examiner who has not been a supervisor or adviser to the student, but **must** have relevant knowledge of the thesis subject area. Independence implies independence of the supervisory team in all respects relating to both the specific programme of work and any close personal relationships with the supervisory team.

- 32.8 Where the candidate is on the permanent staff of the establishment then a second external examiner shall be appointed (see 32.1). A candidate who is on a fixed short-term employment contract (for instance, a research assistant) shall be exempt from the requirements of this regulation. For a candidate who is appointed as a permanent member of staff during the course of their research programme, a second external examiner will be required if the student has spent greater than 80% of their registration period up to the point of submission as a member of staff.
- 32.9 The examination team shall be able to assess the candidate's conduct of research and for doctoral programmes the contribution to knowledge. For assessment criteria see Appendix 9.
- 32.10 At least one of the examination team shall have experience of examining research degree candidates. In an examination for PhD, at least one external examiner shall normally have experience of PhD examining. In order to ensure the development of more research degree examiners, an internal examiner with no previous research degree examination experience will only be approved if they have experience of supervising a research candidate, attended the university workshop on the examination of research students and observed at a viva (or the equivalent internal workshop).
- 32.11 An external examiner shall be independent both of the University and of the Collaborating Establishment and shall not have acted previously as the candidate's supervisor or adviser. The external examiner should not have been a current or former member of staff of this University, unless at least five years have elapsed since they relinquished their post. An external examiner shall normally not be a supervisor of another candidate in the same department at the University.
- 32.12 The external examiner should not have been a former higher degree student of the University unless at least five years have elapsed.
- 32.13 The Academic Board Research Degrees Committee would normally not appoint an external examiner more than twice in three years to examine a research degree.

32.14 The Academic Board Research Degrees Committee will only appoint an Independent Chair who has previous research degree examining experience and has attended the Chairing a Viva workshop to oversee the panel.

33 **Form of Examination**

33.1 The examination shall have two stages:

- i) the submission and preliminary assessment of the thesis and;
- ii) its subsequent defence by oral or approved alternative examination, as provided for in these Regulations.

33.2 A candidate whose programme of work includes formally assessed coursework, for instance the professional doctorates or MRes programmes, shall not be permitted to proceed to a further stage of the examination for the degree until the coursework examiners are satisfied with the candidate's performance. The result of the assessment shall be communicated to the examiners of the thesis.

33.3 A candidate shall be required to present evidence of a successful record of annual reviews and that they have followed an approved skills training programme to the satisfaction of their Director of Studies.

33.4 The University's guidelines on examination and assessment arrangements for students with disabilities and other special needs may apply (see regulation 19 and also appendix 11). An application for alternative assessment arrangements should be submitted to the Academic Board Research Degrees Committee by the Director of Studies for approval.

33.5 A candidate should inform the University Research Degrees Administrator, in writing, of any mitigating circumstances that should be brought to the attention of the examiners at the same time as the thesis is submitted.

34 **Submission of the Thesis**

- 34.1 Candidates will be sent an email reminder by the Faculty Research Degrees Administrator normally six months prior to their thesis submission deadline informing them of the details for their thesis submission and of their thesis submission date.
- 34.2 The submission of the thesis for examination shall be at the sole discretion of the candidate. While a candidate would be unwise to submit the thesis for examination against the advice of the supervisory team, it is their right to do so.
- 34.3 Candidates should not assume that a supervisor's agreement to the submission of a thesis guarantees the award of the degree. Candidates must be aware that the function of the examination team is to make an independent academic judgement and that their opinion may vary from that of the supervisory team.

35 **Plagiarism**

The University views the issues of plagiarism very seriously. Plagiarism for any element of work will be dealt with according to the University procedures (see appendix 2).

36 **The Oral Examination**

- 36.1 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 Academic Board Research Degrees Committee is satisfied that a candidate would be under serious disadvantage if required to undergo an oral examination, an alternative form of examination may be approved. Such approval shall not be given on the grounds that the candidate's knowledge of the language in which the thesis is presented is inadequate.
- 36.2 The oral examination shall normally be held in the University or, in the case of an external student (as defined in Section 2 of the Regulations for the Academic Awards and Related Matters of the University, of which the URL is as follows: http://www.mmu.ac.uk/academic/academic_policy.php), at the educational institution at which the student is enrolled. The location and time of the oral examination shall be determined by the University and a notice stating name of candidate, title of thesis,

time and place of oral examination must be displayed in the University. No oral examination shall take place without the attendance of at least one external examiner.

36.3 The Director of Studies (or nominee) shall liaise with the candidate and the examination team to agree a mutually convenient date for the oral examination. They will notify the Research Degrees Administrator using the RDORAL form at least three weeks prior to the examination and informally notify the candidate.

36.4 Academic staff including supervisors, advisers and other research degree candidates registered with the University may, with the consent of the candidate, attend the oral examination as observers. All observers shall **withdraw** prior to the deliberations of the examiners on the outcome of the examination.

36.5 The Chairman of the Academic Board Research Degrees Committee or their nominee shall have the right to attend the oral examination, in which case they shall normally Chair the proceedings.

37 **Examination Procedures**

37.1 The Academic Board Research Degrees Committee shall establish general procedures for the conduct of examinations. In any instance where the Chair is made aware of a material failure to comply with all the procedures of the examination process, they may declare the examination null and void and the Academic Board Research Degrees Committee shall appoint new examiners.

37.2 A copy of the examination procedures shall be provided to each candidate.

37.3 It shall be the responsibility of the candidate to ensure that two hard copies and one electronic copy of the thesis is submitted to the Research Degrees Administrator via the relevant Faculty Research Degrees Administrator on or before the thesis submission date.

37.4 The Research Degrees Administrator shall send a copy of the thesis to each examiner, together with the examiner's preliminary report form and the University's Regulations, and shall ensure that the examiners are properly briefed as to their duties.

37.5 Each examiner shall read and examine the thesis. Normally, within six weeks of receipt of the thesis, and before the oral or alternative form of examination takes place, each examiner shall have submitted an independent preliminary report to the Chair of the examination panel, via the Research Degrees Administrator. In completing the preliminary report, each examiner shall consider whether the thesis provisionally satisfies the requirements of the degree and where possible make an appropriate provisional recommendation subject to the outcome of any oral examination. The preliminary report shall be confidential prior to the oral examination. (see regulation 41.7).

In the case of a disagreement on whether an oral should proceed then the matter will be resolved under regulation 41.4.

In the case of a resubmission, the examiners may agree to dispense with a second oral examination (refer to regulation 41.8)

37.6 The Research Degrees Administrator shall formally notify the candidate (copied to the Director of Studies) in writing of the arrangements for the oral examination normally at least three weeks beforehand.

37.7 Following the receipt of reports from the examiners, the Research Degrees Administrator will formally notify the Director of Studies, Faculty Research Administrator and the examination team of the arrangements for the oral examination in writing and shall also make arrangements for the examination to be appropriately publicised.

37.8 In very exceptional circumstances, where the examiners are of the opinion that the presentation and/or content of the submission requires significant further work prior to conducting the oral examination, they may recommend that, in the case of the first

examination, the Academic Board Research Degrees Committee postpone the oral examination and refer the thesis for further work.

38 **Procedure for Recommendation of Award**

38.1 Immediately following the oral examination, the examiners shall, where they are in agreement, submit a joint report and recommendation relating to the award of the degree to the Academic Board Research Degrees Committee. Where the examiners are not in agreement, separate reports and recommendations shall be submitted.

38.2 The Academic Board Research Degrees Committee, acting as a Board of Examiners for the purpose of these regulations, shall approve an appropriate recommendation for submission to the Academic Board in respect of the award to be conferred.

38.3 Following the submission of the final version of the thesis and related documentation to the Research Degrees Administrator the award will be formally conferred by Academic Board.

39 **Posthumous Award**

A research degree may be awarded posthumously on the basis of work already achieved. In such cases, evidence shall be provided that the candidate would have been likely to have been successful. The work will be submitted to an external reviewer for a judgement to be made on the level of award.

40 **Review of an Examination Decision**

A candidate may request a review of an examination decision in the circumstances set out in the procedure for accommodating requests for review of decisions of Board of Examiners (For further information see the Appeals procedure at: http://www.red.mmu.ac.uk/?page_id=309).

41 **Examiners Recommendations**

41.1 The examiners may recommend to the Academic Board Research Degrees Committee that:

- (i) the candidate be awarded the degree;

- (ii) the candidate be awarded the degree subject to **minor typographical amendments** being made to the thesis as provided for in these Regulations.

Such amendments will include typographical errors, grammatical and/or replacement of, or additions to, the text, or diagrams. For example, the replacement or addition of up to one or two paragraphs of text. Such amendments should be capable of being completed and approved within one month by one member of the examination team.

- (iii) the candidate be awarded the degree subject to **revisions** being made to the thesis.

Such revisions would not normally constitute more than 10% of the work and may include empirical work for example the revising of a complete chapter of the thesis and/or typographical or grammatical errors that are so numerous as to suggest carelessness on the part of the candidate, or so intrusive as to distract the reader's attention from the argument of the thesis.

The amendments should be capable of being completed and approved within six months from the date of the oral examination. The examination team should decide which examiner(s) will check the amendments.

- (iv) the candidate be referred in the first examination and be permitted to re-submit for re-examination for the degree with or without a further oral examination as provided for in these Regulations. A resubmission may include the restructuring of the thesis and should be capable of being completed within 12 months from the date of the oral examination.

[NB: For a candidate whose recommendation is a resubmission, the period of registration from the submission date to conferment date will automatically be extended by a further 6 months]

Upon resubmission further options are available to the examination team:

- (i) that the candidate not be awarded the degree or

(ii) that in the case of a PhD or professional doctorate examination, the candidate be awarded the degree of MPhil subject to the presentation of the thesis amended to the satisfaction of the examiners.

or

(iii) that in the case of an MPhil examination, the candidate be awarded the degree of Masters (by Research) subject to the presentation of the thesis amended to the satisfaction of the examiners;

or

(iv) that in the case of a professional doctorate examination, the candidate be awarded the exit award of Master of Arts (see regulation 2 for the appropriate award title) subject to the presentation of the thesis amended to the satisfaction of the examiners;

and, having confirmed the recommendation, the Academic Board Research Degrees Committee shall, where appropriate, submit its recommendations for an award to the Academic Board.

41.2 In the case where the examiners are satisfied that the candidate has in general reached the standard required for the degree, but consider that the candidate's thesis requires minor typographical amendments or revisions and corrections not so substantial as to call for a re-submission of a revised thesis, the examiners can recommend that the degree be awarded subject to the candidate amending the thesis to the satisfaction of the internal and/or the external examiner(s). The examiners shall then indicate to the candidate in writing in Part B of the RD8 form what amendments and corrections are required and the date the corrections should be completed by. A copy of Part B of the RD8 form should be given to the candidate immediately following the examination. Candidates who fail to submit the corrections to the thesis by the date specified may be withdrawn by the University.

41.3 Where the examination team consider that the candidate should be referred in the first examination and be permitted to resubmit, they shall provide a brief description to the candidate in writing on the final page of the RD8 form immediately following the oral

examination. More detailed guidance should then be sent to the RED Office to be sent out with the formal written notification.

41.4 Where the examiners' recommendations are not unanimous either before or following the oral examination, the Academic Board Research Degrees Committee may:

- (i) accept the recommendation of the external examiner(s); or
- (ii) require the appointment of an additional external examiner in order to achieve a majority recommendation. In such a case the first external examiner will be kept informed of the outcome.

41.5 Where an additional external examiner is appointed for the above purpose, they shall prepare an independent preliminary report on the basis of the thesis. That examiner should not be informed of the recommendations of the other examiners prior to the submission of their report. On receipt of the report from the additional examiner, the examination shall be completed as provided for in these Regulations.

41.6 Under very exceptional circumstances, where the thesis is referred for further work the internal examiner (or one of the external examiners if the candidate is a member of staff) shall provide the Academic Board Research Degrees Committee with written guidance for the candidate concerning the deficiencies of the thesis. The guidance shall be forwarded to the candidate by the RED Office. Candidates who fail to represent their amendments by the date specified may be withdrawn by the University.

41.7 The examiners shall not recommend on first examination that the degree be not awarded without holding an oral examination.

42 **Re-examination**

42.1 Only one re-submission may be permitted by the Academic Board Research Degrees Committee, on the recommendation of the examiners, to a candidate who fails to satisfy the examiners at the first examination. In such cases, the examiners will have provided the candidate, through the Research Degrees Administrator, written guidance on the deficiencies of the first submission. The candidate shall be required to re-

submit for re-examination and approval within a period of time specified by the Academic Board Research Degrees Committee, which shall normally be 12 months from the date of the oral examination. Candidates who fail to re-submit their thesis by the date specified may be withdrawn by the University.

42.2 The form of the re-examination shall be as specified by the Academic Board Research Degrees Committee, subject to the provisions of these Regulations, and shall cover those aspects of the first examination in which the candidate's performance was not satisfactory and may cover any new or amended material included in the thesis presented for re-examination.

42.3 Normally the original examiners will be expected to undertake the re-examination, but in the event of non-availability, new examiners shall be appointed.

42.4 The Academic Board Research Degrees Committee may require that an additional external examiner be appointed for the re-examination.

42.5 In the case of a re-examination, the examiners may recommend that the Academic Board Research Degrees Committee dispense with the oral and recommend that the degree be not awarded.

43 **The Submission**

43.1 The Thesis

The thesis shall normally be written in English, unless the Academic Board Research Degrees Committee has given permission for it to be presented in another language. Where a thesis is presented in another language, a summary in English of approximately 1000 words shall be included in the thesis (see regulation 20.4)

43.2 There shall be a single page abstract of approximately 300 words bound into the thesis which shall provide a synopsis of the thesis stating the nature and scope of the work undertaken and of the contribution made to the knowledge of the subject treated.

43.3 The text of the thesis should normally not exceed the following length (excluding ancillary data such as footnotes, bibliographies, diagrams and references):

Science and engineering subjects

for a PhD 40,000 words

for an MPhil 20,000 words

for a Master's (by research) 15,000 words

Other subject areas

for a PhD 80,000 words

for an MPhil 40,000 words

for a Master's (by research) 30,000 words

Where the thesis forms part B of a professional doctorate programme, for example, the EdD then the thesis should normally be around:

40,000 words

Where the thesis is accompanied by material in other than written form or the research involves creative writing or the preparation of a scholarly edition, the written thesis should normally be within the range:

for a PhD/professional doctorate 30,000 - 40,000 words

for an MPhil 15,000 - 20,000 words

for a Master's (by research) 10,000 - 15,000 words

PhD by Publication (routes 1 & 2)

The analytical commentary (thesis) which accompanies the submission should be within the range:

10,000 -15,000 words

PhD by Practice (route 3)

The analytical commentary (thesis) which accompanies the submission should be within the range:

10,000 – 30,000 words

- 43.4 A thesis that is substantially in excess of the recommended word length without sufficient justification may be a reason for rejection by the examination team.
- 43.5 The candidate shall confirm, through the submission of a declaration form, that the thesis has not been submitted for another academic award. The candidate shall not be precluded from incorporating in the thesis, covering a wider field, work which has already been submitted for a degree or comparable award, provided that it is indicated, on the declaration form and also in the thesis, which work has been so incorporated.
- 43.6 The thesis shall acknowledge published or other sources of material consulted and any assistance received.
- 43.7 Where a candidate's research programme involves formal co-operation with one or more collaborating establishments, the name(s) of the Collaborating Establishment(s) shall appear on the title page of the thesis.
- 43.8 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.
- 43.9 The candidate shall be free to publish material in advance of the examination of the thesis. Where this occurs reference must be made in the thesis to any such work.

Copies of relevant published material should either be bound in with the initial thesis or placed in an adequately secured pocket at the end of the initial thesis. The publications are not required in the final electronic version of the thesis of a traditional PhD.

- 43.10 The candidate shall ensure that the thesis format is in accordance with requirements prescribed by the Academic Board Research Degrees Committee, details of which shall be made available to all candidates (see Appendix 8). The submitted copies (two hard copies and the electronic version) should be identical.
- 43.11 The copies of the thesis submitted for examination, including any amendments made to meet the requirements of the examiners, shall remain the physical property of the University but the copyright in the thesis shall remain with the candidate.
- 43.12 Following a recommendation for the award of the degree, the candidate shall submit either one electronic copy of the thesis or a hard copy of the thesis. The candidate shall normally provide a hard copy for the Director of Studies together with, where appropriate, confirmation from the examiner(s) that any required amendments have been made, to the Research Degrees Administrator in the RED Office. The Research Degrees Administrator shall arrange for the electronic copy to be deposited within e-space the University's Open Access repository and in the library of any Collaborating Establishment (for which an extra copy must be supplied by the candidate). The degree shall not be awarded until such copies of the thesis have been submitted. For all research awards where an electronic thesis is submitted a completed Ethos Deposit Agreement Form should be submitted. For doctoral level awards where a hard copy of the thesis is submitted candidates should submit the British Library Form and it should accompany a copy of the abstract and a list of contents of the final thesis. Candidates should also submit the signed Exit Form (RDEXIT)
- 43.13 Where a candidate or the University considers that the confidential nature of the candidate's work is such as to preclude the thesis being made freely available within the Library or e-space (and Collaborating Establishment, if any), an application may be made to the relevant Research Degrees Committee for the thesis to be treated as

confidential for a period of time after completion of the work. The application shall normally be made to the relevant Research Degrees Committee at the time of registration. In cases where the need for confidentiality emerges at a subsequent stage, an application shall be made immediately to the relevant Research Degrees Committee.

- 43.14 The relevant Research Degrees Committee shall normally approve an application for confidentiality only in order to enable a patent application to be filed at the patent office or to protect legitimate interests of stakeholders. The period of confidentiality shall normally not exceed two years from the date of the oral examination. In exceptional circumstances the relevant Research Degrees Committee may approve a longer period. Where a shorter period would be adequate, the relevant Research Degrees Committee shall not automatically grant confidentiality for two years.
- 43.15 Where the relevant Research Degrees Committee has approved an application for confidentiality the thesis shall, immediately on completion of the programme of work, be retained by the University on restricted access and, for a time not exceeding the approved period, shall be made available only to those who were directly involved in the project.
- 43.16 Agreed confidentiality agreements should be notified by the relevant Faculty Research Degrees Committee to the Academic Board Research Degrees Committee on submission of the thesis and ensure a confidentiality clause is inserted in the thesis.

The student is responsible for:

- Negotiating with the supervisors to establish what kind of help and guidance is appropriate, and what form it should take.
- Complying with the requirements of official procedures.
- Attending the required research training programme.
- Maintaining regular (and frequent) formal contact with your supervisory team.
- Maintaining progress with the research, along lines agreed with the Supervisory team.
- Informing supervisors of any problems or difficulties, seeking help or advice and where necessary applying for extensions, suspensions, withdrawals or a change in the mode of study.
- Delivering progress reports and other written material as required in sufficient time to allow adequate comment and discussion.
- Taking advantage of opportunities for the development of personal skills, knowledge and experience.
- Ensuring that the thesis is of an adequate standard for the award.
- Submitting the thesis (at the sole discretion of the student) in compliance with the University's Regulations.
- Re-enrolling with the University on an annual basis, even when writing up or the thesis has been submitted but has not been conferred.
- Providing the necessary information for annual monitoring purposes.
- Working in ways that promote diversity and equal opportunities within the University and outside it.
- Making a positive contribution through work within the University and through the choice of area of study, research methods and analysis to promote diversity and equal opportunities within the University and the community.

The supervisory team need to:

- Help the student feel at home in a Department/Research Unit or School, in a Faculty, in the University, and in the wider context of the region and sub-region.
- Give general guidance on such matters as: the nature of research; academic standards; planning; literature and other sources; methods and techniques. In addition, where appropriate, propose the appointment of a suitable advisor.
- Assist the student in navigating through official procedures, and ensure that deadlines are met.
- Maintain regular (and frequent) formal contact with the student. Where the student has not been in contact with the supervisory team for some time, it is the supervisory team's responsibility to make contact with the student.
- Be accessible to give the student informal advice.
- Obtain progress reports and other written work, and provide constructive criticism reasonably promptly.
- The Director of Studies specifically needs to provide an annual progress report as part of the annual review procedures.
- Arrange any training or formal instruction which the student requires, including research and personal skills.
- Ensure that the student is aware of when they are making inadequate progress or other impediments to the successful completion of research within the required duration.
- Ensures that the student re-enrol with the university on an annual basis.
- Ensures that the student makes a positive contribution through the work within the University and through the choice of area of study, research methods and analysis, to promoting diversity and equal opportunities within the University and the community.

**MANCHESTER METROPOLITAN UNIVERSITY CODE OF PRACTICE FOR
DEALING WITH ALLEGATIONS OF SCIENTIFIC OR ETHICAL MISCONDUCT IN
RESEARCH**

Introduction

“The mission of Manchester Metropolitan University is dedicated to the success of all with the ability and motivation to benefit, meeting the needs of the professional and wider communities it serves through the excellence of its teaching, learning, research and scholarship.”

Manchester Metropolitan University (MMU) treats allegations of scientific or ethical misconduct with the utmost seriousness. Those involved in research in MMU are accountable to their professional bodies, to the institution and to the organisations that fund their research. They should ensure effective management of their projects within an agreed framework and which deliver realistic outcomes for the external funders.

The **scope** of the policy in this document will be taken to include all staff and students working within, or on behalf of, Manchester Metropolitan University.

**There are a number of codes of conduct to be observed when conducting
research within this Institution**

Codes of conduct to be observed are:

- **MMU’s Guidelines for Good Research Practice**

www.rdu.mmu.ac.uk/rdegrees/goodpractice.doc
www.rdu.mmu.ac.uk/rdegrees/codeofpracticeQAA.doc

- **MMU’s Ethics Framework**

<http://www.rdu.mmu.ac.uk/ethics/mmuframework.htm>

- **MMU’s Ethics Check Form**

http://www.red.mmu.ac.uk/?pageparent=3&page_id=80

- **MMU’s Ethics Flowchart**

http://www.red.mmu.ac.uk/documents/res_files/ethics/Ethics%20flow%20chart%20Final%2025.06.07.pdf

- **Research Governance Framework for Health and Social Care (where applicable)**

http://www.dh.gov.uk/en/Publicationsandstatistics/Publications/PublicationsPolicyAndGuidance/DH_4108962

- **Human Tissue Act (where applicable)**

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

- **Any specific requirements or applicable codes of the relevant Research Council funding the research, whether in whole or in part.**

Failure to comply with the provisions of the above will constitute a prima facie case of research misconduct liable to action under the University's staff or student disciplinary procedure.

Definition of Scientific or Ethical Misconduct in Research

Staff and students are expected to maintain the utmost professional integrity when undertaking research, both in their practice and publications. Deviation from this is unacceptable and may be prosecuted under the University's disciplinary procedures for staff or students.

Outlined below are examples of unacceptable conduct, whether based upon deliberate, reckless or negligent behaviour, which may result in disciplinary action for misconduct or, in serious cases, gross misconduct.

- Failure to obtain appropriate permission to conduct research
- Failure to assess the research proposal using the University Ethics framework
- Unethical behaviour in the conduct of research, for example in relation to research subjects
- Plagiarism, or dishonest use of unacknowledged sources
- Misquotation or misrepresentation of other authors
- Inappropriate attribution of authorship
- Attempting, planning or conspiring to be involved in research

misconduct

- Inciting others to be involved in research misconduct
- Unauthorised use of information which was acquired confidentially
- Deviation from good research practice, in particular where this results in risk of harm to humans, animals or the environment
- Fabrication, falsification or corruption of research data
- Distortion of research outcomes, for example by the manipulation or omission of data that do not fit expected results
- Dishonest misinterpretation of results
- Publication of data known or believed to be false or misleading
- Fraud or other misuse of research funds or research equipment
- Collusion in or concealment of research misconduct by others
- Deception in relation to research proposals

Procedure for considering allegations of scientific or ethical research misconduct

Any member of staff or student who has concerns that scientific or ethical misconduct has taken place must feel free to raise these concerns with a senior member of staff in complete confidence. Any allegations of scientific or ethical misconduct will be dealt with in line with MMU's misconduct procedures as documented in the 'Staff Disciplinary Procedure', which can be found at:

www.mmu.ac.uk/humanresources/pdf/general/Staffdisciplinaryprocedure.pdf

For postgraduate research students, an Assessment Disciplinary Committee will be established to examine an alleged case of misconduct by a PGR student. The Assessment Disciplinary Committee must investigate and make recommendations to the Board of Examiners, which in the case of PGR students, is the University Research Degrees Committee. It is for the Board of Examiners to decide on the penalty to be applied, having regard for whatever recommendation the Committee might make and having

taken into account any evidence of mitigation placed before and accepted by the Committee.

References University links

http://www.red.mmu.ac.uk/?pageparent=3&page_id=80

http://www.red.mmu.ac.uk/documents/res_files/ethics/Ethics%20flow%20chart%20Final%2025.06.07.pdf

http://www.mmu.ac.uk/academic/student_regulations.php

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

Public Interest Disclosure ("Whistleblowing"):

<http://www.mmu.ac.uk/policy/policy.php>

Other references

http://www.dh.gov.uk/en/Publicationsandstatistics/Publications/PublicationsPolicyAndGuidance/DH_4108962

<http://www.epsrc.ac.uk/website/index.aspx>):

<http://www.wellcome.ac.uk/>

<http://www.mrc.ac.uk/PolicyGuidance/index.htm>

<http://www.ost.gov.uk> (safeguarding good laboratory practice)

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

ETHICS**The University's Academic Ethical Framework**

(http://www.red.mmu.ac.uk/?pageparent=3&page_id=80) lays out the principles and requirements of good research practice. Therefore, prior to any research work gaining academic approval the ethical implications have to be addressed. The system is very clear, if there are any ethical issues associated with your research then full approval has to be sought from the appropriate committee, namely, the relevant Faculty Academic Ethics Committee for research where there is no involvement with the NHS, or a Local Research Ethics Committee (LREC) if the research involves the NHS.

RESEARCH GOVERNANCE**The Research Governance Framework for Health and Social Care**

(http://www.dh.gov.uk/en/Publicationsandstatistics/Publications/PublicationsPolicyAndGuidance/DH_4108962) was published in March 2001 by the Department of Health (DoH) and updated in April 2005, sets the framework for the governance of research in health and social care. These standards apply to all research concerned with the protection and promotion of public health, research undertaken in or by the Department of Health, its non-Departmental Public Bodies and the NHS, and research undertaken by or within social care services that might have an impact on the quality of those services. This includes clinical and non-clinical research, research undertaken by NHS staff using NHS resources, research undertaken by industry, the charities, the research councils and universities within the health and social care systems.

The Framework Document defines the responsibilities and accountabilities of researchers, funding bodies and organisations that sponsor or host research or employ researchers. It is therefore critical that all parties involved in research know who is responsible for what in order to ensure that these requirements are met. Fully documented policies have been developed between MMU and NHS trusts to ensure working arrangements and all requirements of the Framework are met.

Some areas that are covered include:

- Ethics
- Scientific quality
- Information
- Health and safety
- Human resources
- Finance
- Intellectual property

- Insurance indemnity

It is important that **before** you begin any research involving the NHS your project receives full approval from the University and that all co-signed working arrangements are in place between the University and the Trust you are working with. If you do not get approval then you may not be insured.

Full guidance notes are available on the intranet at:

http://www.red.mmu.ac.uk/?pageparent=3&page_id=80

GUIDELINES FOR CANDIDATES WISHING TO UNDERTAKE A PhD BY

PUBLISHED WORK (Route 1)

(Designed for active researchers both internal and external to the University)

The ‘traditional’ routes to a PhD following completion of a first degree are either to register for an MPhil, leading to subsequent transfer to PhD; or to complete a taught Master’s degree followed by direct registration for a PhD. In the course of pursuing a PhD, publications may be produced.

There is an alternative route to a PhD for candidates who have acquired substantial experience of research and who have produced one or more research publications. These candidates would register for a PhD by publication and, during the period of registration, will produce additional publications under the guidance of a supervisory team.

A PhD by Published Work is no less rigorous than that pursued through the traditional route. Studying for a PhD is an educational experience in the course of which skills are developed through the supervisor/student relationship. A PhD by either route thus requires:

- appropriate supervision of the candidate;
- the completion, where appropriate, of an approved supporting programme;
- the preparation and submission of a thesis (analytical commentary);
- and an examination to establish that a coherent significant contribution to knowledge or scholarship, that is of an acceptable national standing, has been made in a particular field.

The publications submitted as part of a PhD by Published Work must provide evidence of the candidate’s capacity to pursue further research, represent a coherent contribution to research in a given field and demonstrate a depth of scholarship, criticality and originality comparable with that required in a traditional PhD.

‘Publications’ may include a variety of outputs, such as:

- substantial or sole contributor to a book,
- chapters in books,
- papers/articles in refereed journals,
- papers presented to conferences which are available in the published proceedings of the conference or are otherwise published,
- patent applications or granted patents,
- exhibitions or performances in the fields of art and design of which a permanent record has been made.

Only published work that is available and accessible in the public domain will be eligible for consideration. Published work would normally have been subject to external peer review. Course readers/documents, academic, industrial or government documents produced for internal purposes are not eligible.

The award of a PhD by Published Work is subject to the provisions of the Regulations for the Academic Awards of the University being met in all respects.

The following guidelines are intended to assist candidates wishing to undertake a PhD by Published Work by Route 1.

1 **Publication prior to Registration**

Registration for PhD by Published Work by route 1 is available to candidates who have a record of publishing: at least 60% of the publications the candidate wishes to submit as part of the PhD should normally have been published prior to the submission of an application for registration to the Academic Board Research Degrees Committee and should normally have been published within two years prior to the submission of the application. In exceptional cases, where the candidate has shown evidence of active publication beyond the 2 year period such publications may also be considered provided such material is germane to the subject area in question. Normally, this period would not be extended beyond 3 years prior to application.

2 **Experience of Publication**

A decision on the choice, number and type of publications forming the proposed submission to the PhD should be taken by the candidate's proposed Supervisory Team and the candidate. Candidates need to ensure that the number and range of publications is sufficient to demonstrate that their work forms coherent, significant contribution to knowledge or scholarship, that is of an acceptable national standing, has been made in a particular field. The Academic Board Research Degrees Committee will need to be satisfied that the number and range of publications contributing to the PhD is adequate before it will approve an application for registration.

3 **Contribution to Publications**

For any (proposed) publications, which are not single authored by the candidate, the candidate must provide information to the Academic Board Research Degrees Committee on the candidate's contribution. For a substantial proportion of all the publications submitted, the candidate must be the sole or senior author. A form (RDPUB) must be completed in respect of each publication, indicating the extent of the candidate's contribution, which should normally be signed by any co-author(s) of the publication.

4 **Application for Registration (Regulation 10)**

In order to register for a PhD by Published Work, route 1, candidates must complete form RD1 (PUB1). In the outline of the research proposal, the aims and description of the research should indicate the coherent and significant contribution to knowledge expected to be made by the publications that will be submitted. This outline should include details of the publications, together with an indication/summary/abstracts of their contents. The total number of publications that will contribute to the PhD should be indicated. The Research Degrees Committee will need to be satisfied that the number of publications is adequate and that together the publications make a coherent and significant national contribution to knowledge or scholarship. The qualification requirements must be met (Reg. 20.1). Key references to existing literature must be included within the research proposal.

Copies of the publications to be submitted, i.e. those that are already written and in press), and the forms (RDPUB) indicating the candidate's contribution to each publication, must be submitted with the application (RD1PUB1).

This information should then be submitted by the candidate to the University Research Degrees Manager at least four weeks prior to the next meeting of the Academic Board Research Degrees Committee.

The Chair of the Academic Board Research Degrees Committee will then appoint one experienced member of the committee or an experienced member of academic staff of the University to scrutinize the proposal and produce a report for the next meeting of the Committee. In cases where the University is unable to assess the work due to lack of expertise in the field, an external reviewer will be appointed.

A Copy of forms RD1 (Pub1) and RDPUB forms may be obtained from the Research Degrees Website at:

http://www.red.mmu.ac.uk/?pageparent=4&page_id=94

5 **Backdating of Registration**

Backdating of registration, beyond when the RD1 is submitted to the RED Office, to take account of research undertaken leading to publication, may normally be for a period of up to two years, from the date of receipt of the application for registration by the Research Degrees Manager. The Research Degrees Committee may exceptionally consider a request for backdating beyond two years, up to a maximum limit of three years, providing satisfactory evidence is provided to support the request. Backdating shall normally not be granted in respect of more than 60% of the publications contributing to the PhD.

6 **Transfer from MPhil or PhD to PhD by Published Work (Regulation 24)**

Candidates who are currently undertaking a Masters (MPhil) or PhD by the 'traditional' route may **not** transfer to a PhD by Published Work except in exceptional circumstances.

7 **Supporting Programme (Regulation 18)**

Candidates should follow an approved supporting programme or, where appropriate, seek exemption by the Research Degrees Committee from such a programme by providing evidence of appropriate competence and/or knowledge.

8 **Supervision (Regulation 30)**

Candidates should be supervised by a Director of Studies and normally at least one other supervisor. The aim of the supervision is to enable the development of the critical overview of the work, to prepare the candidate for the oral examination, and to also provide the candidate with insight into the skills required to supervise future students.

9 **Registration Period**

The registration period is normally as follows:

PhD by Published Work (Route 1)

Mode	Submission date	Conferment date
Full-time	24 months	36 months
Part-time	42 months	54 months

The Committee would, however, be prepared to consider an application for shortening the minimum period of registration where there is evidence that work is proceeding exceptionally well. An application for shortening should be submitted at the same time as the application for approval of examiners (Reg. 27.7).

10 **The structure and format of the submission**

The submission should clearly demonstrate a significant contribution to knowledge as is expected of a PhD the traditional route. The submission must contain or accompany an analytical commentary (the equivalent of a thesis), which will normally be between 10,000 - 15,000 words and critically explores the relationship between the published work submitted and the current body of knowledge in the field.

The structure and format of the submission may vary and include original material and a range of media.

Some examples are:

- A 'book' plus analytical commentary
- A 'performance' plus analytical commentary
- An 'exhibition' plus analytical commentary

- Journal articles plus analytical commentary [see conventional structure in section 11]

The candidate should negotiate the structure with his/her supervisory team.

In all cases the analytical commentary should be bound under the same regulations as (see appendix 8) a traditional thesis. Where possible, ie. where journal articles are the presented media, these should also be bound within the thesis.

11 **Conventional structure of the analytical commentary (thesis)**

- 1) An abstract (300 words).
- 2) An introductory section, raising awareness of the current state of the field, comprising a written critical overview, a literature review/appraisal and an indication of how the publications relate/contribute to an existing body of knowledge/scholarship and research methods.
- 3) The publications and, where appropriate, evidence of publication (WHERE PUBLICATIONS ARE IN THE PRESS, LETTERS OF ACCEPTANCE FROM THE EDITOR OR A COPY OF THE CONTRACT WITH THE PUBLISHER, MUST BE INCLUDED) and a statement providing a clear indication of the candidate's contribution to each publication.
- 4) A critical account of how the publications make a coherent and significant contribution to knowledge and scholarship.
- 5) A demonstration of critical reflection on methodological issues and an indication of the future direction of research needed / to be carried out by the candidate in the field.

The normal requirements for a thesis as set out in the Regulations should also be met [see appendix 8].

The weightings of sections 2) – 5) may vary depending upon the subject area of the field. Any significant variation must be approved by the Research Degrees Committee.

The above should demonstrate the coherence of the research undertaken, written in a style which is accessible to readers. .

12 **Submission of the Thesis**

The submission of the thesis for examination shall be at the sole discretion of the candidate. While a candidate would be unwise to submit the thesis for examination against the advice of the supervisory team, it is their right to do so. Equally, candidates should not assume that a supervisor's agreement to the submission of a thesis guarantees the award.

13 **Examiners and the Examination Arrangements (Regulations 32 - 42)**

The normal requirements for the nomination and appointment of Examiners, submission and examination of the thesis and for the oral examination must be met.

The examiners' shall make recommendations according to the current regulations of the University (Reg. 41).

14 **Fees**

Candidates are required to pay tuition fees in accordance with University Regulations.

GUIDELINES FOR CANDIDATES WISHING TO UNDERTAKE A PhD BY

PUBLISHED WORK (Route 2)

(Designed for members of staff at MMU and external candidates who can demonstrate excellence of publication in their field)

There are important distinctions between PhD by Published Work routes 1 and 2. This route, unlike route 1, is for candidates:

- a) with a strong academic career as evidenced by publication; or
- b) who have produced a significant body of work outside a traditional academic context. This body of work must principally be the candidate's own work.

Candidates must be graduates (or equivalent) of at least five years standing and have already obtained a Masters degree, or show evidence of having received research training or equivalent experience in their working environment.

Applications may be made at anytime throughout the academic year, in the first instance, to the University Research Degrees Manager.

The publications must all be available and accessible in the public domain, must represent a coherent and significant contribution to research in a given field and demonstrate a depth of scholarship and originality comparable with that required in a traditional PhD.

The requirements of a PhD presented through the publication route are no less rigorous than that pursued through the traditional route. The PhD by publication must, through the selection of the papers, and the accompanying analytical commentary, demonstrate a contribution to knowledge, and evidence of the development of research skills appropriate to the focus of the research and the knowledge domains within which the research was conducted. As no formal supervision or additional research is required by this route it is also expected that the candidate's submission will demonstrate that, through the course of their research they have considerable professional knowledge in their field at least equivalent to that gained by PhD students through the supervision process. The material submitted for the PhD shall be examined in the normal way, and must be sufficiently extensive as to provide

convincing evidence that the research constitutes a coherent and significant contribution to knowledge or scholarship in a particular field, that is of at least national standing.

The award of a PhD to a candidate through the publications route 2 is subject to the provisions of the Regulations for the Academic Awards of the University being met in all respects.

The following guidelines are intended to assist candidates wishing to undertake a PhD by Published Work (route 2).

1 **Application for Registration**

Registration for PhD by Published Work (Route 2) is available to candidates who have a record of significant publishing. A candidate wishing to be considered for a PhD by Published Work (route 2) should, in the first instance, submit the following information in typed or printed format:

- (i) A completed RD1 (Pub2) form – *Prima-facie* Application to Register for the degree of Doctor of Philosophy by Published Work (Route 2);
- (ii) Completed RDPUB (Route2) form(s) – A separate form **must** be completed for each individual publication;
- (iii) A full list of the works to be included in the final submission, together with a copy of the publications.
- (v) A brief argument for contribution to knowledge in a particular field. This should be no more than 1000 – 2000 words.

The qualification requirements must be met in all cases (Reg. 20)

The above documentation should be submitted by the candidate to the University Research Degrees Manager at least four weeks prior to the next meeting of the University Research Degrees Committee.

The Chair of the Academic Board Research Degrees Committee will then appoint two experienced members of the Committee or experienced members of academic staff of the

University, as reviewers to scrutinize the proposal and to produce a report for the next meeting of the Committee, to determine whether there is a *prima-facie* case for proceeding with the candidature. In cases where the University is unable to assess the work due to lack of experience in the field, an external reviewer(s) will be appointed.

2 **Experience of Publication**

A decision on the choice, number and type of publications forming the proposed submission to the PhD should be taken by the candidate's proposed Academic Advisor and the candidate. Candidates need to ensure that the number and range of publications is sufficient to demonstrate that their work forms a coherent, significant contribution to knowledge or scholarship, that is of an acceptable national standing, in a particular field. The Academic Board Research Degrees Committee will need to be satisfied that the number and range of publications is adequate before it will approve an application for registration.

3 **Contribution to Publications**

The Research Degrees Committee will need information on the candidate's contribution to the publications. For a substantial proportion of all the work submitted the candidate must be the sole or senior author. For a significant proportion of any jointly authored work that is submitted, the candidate should be the main contributor. A form (RDPUBRoute2) must be completed in respect of each publication indicating the extent of the candidate's contribution, which should normally be signed by the co-author(s) of the publication. In the case of joint authorship, the number of publications expected will be apportioned accordingly. The candidate must also show evidence of recent publication activity prior to submission. Candidates who have not actively published within a 5 year period prior to submission are not normally eligible to apply.

4 **Registration**

If the application for registration is approved by the University Research Degrees Committee the candidate will then be formally registered to submit for the degree of PhD by published work (Route 2). Candidates are required to enrol with the University and pay the appropriate fees. Acceptance by the Committee does not guarantee the award of the degree of PhD.

The candidate does not have a supervisory team but an internal advisor will be appointed by the University to assist and guide the candidate where necessary to compile the analytical commentary (thesis).

5 Registration Period

The registration period is normally as follows:

PhD by Published Work (Route 2)

Mode	Submission date	Conferment date
Full-time	6 months	12 months
Part-time	12 months	24 months

6 **The structure and format of the submission**

The submission should clearly demonstrate a significant contribution to knowledge as is expected of a PhD by thesis/traditional route. The submission must contain or accompany an analytical commentary, which will normally be between 10,000 -15,000 words and critically explores the relationship between the published work submitted and the current body of knowledge in the field.

The structure and format of the submission may vary and include original material and a range of media.

Some examples are:

- A 'book' plus analytical commentary
- A 'performance' plus analytical commentary
- An 'exhibition' plus analytical commentary
- Journal articles plus analytical commentary [see conventional structure in section 7]

The structure should be negotiated with your Academic Advisor.

In all cases the analytical commentary should be bound the same as a traditional thesis. Where possible, ie, where journal articles are the presented media, these should be bound within the thesis.

7 **Conventional structure of the analytical commentary (thesis)**

- 1) An abstract (300 words).
- 2) An introductory section, raising awareness of the current state of the field comprising a written critical overview, containing a literature review/appraisal and an indicating how the publications relate/contribute to an existing body of knowledge/scholarship and research methods.
- 3) The publications or other appropriate evidence of publication (WHERE PUBLICATIONS ARE IN THE PRESS, LETTERS OF ACCEPTANCE FROM THE EDITOR OR A COPY OF THE CONTRACT WITH THE PUBLISHER, MUST BE INCLUDED) and a statement providing a clear indication of the candidate's contribution to each publication.
- 4) A critical account of how the publications make a coherent and significant contribution to knowledge and scholarship.
- 5) Demonstration of a critical reflection of methodological issues and an indication of the future direction of research needed / to be carried out by the candidate in the field.

The normal requirements for the thesis as set out in the Regulations should also be met [see appendix 8].

The weightings of sections 2) – 5) may vary depending upon the subject area of the field. Any significant variation must be approved by the Research Degrees Committee.

The above should demonstrate the coherence of the research undertaken, written in a style which is accessible to readers.

8 **Submission of the Thesis**

The submission of the thesis for examination shall be at the sole discretion of the candidate. While a candidate would be unwise to submit the thesis for examination against the advice of the Academic Advisor, it is their right to do so. Equally, candidates should not assume that the advisor's agreement to the submission of a thesis guarantees the award.

9 **Examiners and the Oral Examination (Regulations 32 – 42)**

The normal requirements for the nomination and appointment of examiners', submission and examination of thesis and for the oral examination must be met.

The examiners shall make recommendations according to the current regulations of the University (reg. 41)

10 **Exemption from Regulation 30.5**

Members of academic staff of the University who are registered for a PhD by Published Work, Route 2) are exempt from Regulation 30.5 and may be permitted to be a Director of Studies for research degree candidates who are undertaking a PhD by the traditional route.

11 **Fees**

Candidates are required to pay tuition fees in accordance with University Regulations. In this case it is expected that a minimum one years' registration fee should be paid

GUIDELINES FOR CANDIDATES WISHING TO UNDERTAKE A
PhD BY PRACTICE (Route 3)
(Designed for candidates who are practicing in a working research
environment with the objective of producing outputs in a
professional and/or studio context)

This route unlike PhD by Published Work is suitable for candidates who are established professionals as well as suitably qualified recent postgraduates who are engaged in professional practice in the arts or design field. The programme of research may be carried out in any context for practice, for example, fine art, design, architecture, media arts, creative writing, film, television, dance, performance, music and composition.

Applications may be made at anytime throughout the academic year, in the first instance, to the University Research Degrees Manager.

The requirements of a PhD presented through the practice route are no less rigorous than that pursued through the traditional route. The PhD by practice must, through a portfolio of work and an accompanying analytical commentary, demonstrate a contribution to knowledge, and evidence of the development of research skills appropriate to the focus of the research and the knowledge domains within which the research was conducted.

The material submitted for the PhD shall be examined, in the normal way, and must be sufficiently extensive as to provide convincing evidence that the research constitutes a coherent and significant contribution to knowledge or scholarship in a particular field.

The award of a PhD to a candidate through the practice route is subject to the provisions of the Regulations for the Academic Awards of the University being met in all respects.

The following guidelines are intended to assist candidates wishing to undertake a PhD through the practice route.

1 **Application for Registration**

Registration for PhD by Practice (Route 3) is available to candidates who are engaged in professional practice in the arts or design field. A candidate wishing to be considered for a PhD by the practice route should, in the first instance, submit the following information in typed or printed format:

- (i) A completed RD1 form
- (ii) A research proposal including a brief argument for contribution to knowledge in a particular field. This should be no more than 1000 – 2000 words.

The qualification requirements must be met in all cases (Reg. 20)

The above documentation should be submitted by the candidate to the University Research Degrees Manager at least four weeks prior to the next meeting of the University Research Degrees Committee.

The Chairman of the Academic Board Research Degrees Committee will then appoint one experienced members of the Committee or experienced members of academic staff of the University as a reviewer to scrutinize the proposal and produce a report for the next meeting of the Committee.

2 Contribution to Submission

For a substantial proportion of all the work submitted the candidate must be the sole or senior author. For a significant proportion of any jointly authored work/practice that is submitted, the candidate should be the main contributor.

3 Registration

If the application for registration is approved by the University Research Degrees Committee the candidate will then be formally registered to submit for the degree of PhD by practice (Route 3). Candidates are required to enrol with the University and pay the appropriate fees. Acceptance by the Committee does not guarantee the award of the degree of PhD.

4 Registration Period

The registration period is normally as follows:

PhD by Practice (Route 3)

Mode	Submission date	Conferment date
Full-time	36 months	48 months
Part-time	48 months	60 months

5 The structure and format of the submission

The submission should clearly demonstrate a significant contribution to knowledge as is expected of a PhD by thesis/traditional route.

The submission is in two parts:

- a) the portfolio of work;
- b) an analytical commentary.

6 The Portfolio

The portfolio should contain work suitable for professional consumption and/or worthy of publication. The body of work would be what can be reasonably achieved within three years of postgraduate full-time study or part-time equivalent. The portfolio should contain at least one major extended work or group of works and should be substantially achieved during the registration period. Where the submission involves a performance or exhibition, etc, a permanent record of the work should be submitted in the form of photographs, CD-Rom, DVD or other recorded material along with the analytical commentary.

7 The Analytical Commentary

The analytical commentary of the submission provides the evidence for the contribution of the practice to the field (i.e. the level of intellectual engagement, context and originality) might be constituted in a number of different discursive forms. These might be process-based, personal narratives or traditional academic writing in combination with practice-led elements of the submission.

The analytical commentary should provide where appropriate a critical reflection on the approaches, methods and theories deployed, an explanation of the technical procedures

employed, and may discuss the works' aesthetic premises in its relevant historical, theoretical or critical contexts.

It should normally be between 10,000 -30,000 words and critically explore the relationship between the portfolio of work submitted and the current body of knowledge in the field.

In all cases the analytical commentary should be bound like a traditional thesis.

The normal requirements for the thesis as set out in the Regulations should also be met [see appendix 8].

The above should demonstrate the coherence of the research undertaken, written in a style which is accessible to readers.

8 **Submission of the Portfolio and Analytical Commentary**

The submission of the Portfolio and the Analytical Commentary for the examination shall be at the sole discretion of the candidate. While a candidate would be unwise to submit the work for examination against the advice of the supervisory team, it is their right to do so. Equally, candidates should not assume that a supervisor's agreement to the submission of the work guarantees the award of the degree.

9 **Examiners and the Oral Examination (Regulations 32 – 42)**

The normal requirements for the nomination and appointment of examiners', submission and examination of the work and for the oral examination must be met.

If the Portfolio takes the form of a public exhibition, broadcast or performance then normally the time between the examiners seeing the work and the final examination should not exceed 6 months.

The examiners' shall make recommendations according to the current regulations of the University (reg. 41)

10 **Fees**

Candidates are required to pay tuition fees in accordance with University Regulations.

RESEARCH DEGREE FORMS

APPENDIX 7

FORM	NAME
REGISTRATION	
RD1A	Application to Register for a Research Degree: Confirmation of Scrutiny
RD1(MR)	Application to Register for the Degree of Master of Arts/Science/Law (By Research)
RD1 (MP)	Application to Register for the Degree of Master of Philosophy (with the possibility of transfer to PhD)
RD1(PhD)	Application to Register for the Degree of Doctor of Philosophy
RD1(PUB1)	Application to Register for the Degree of Doctor of Philosophy by Published Work (Route 1)
RD1(PUB2)	“Prima-facie” Application to Register for the Degree of Doctor of Philosophy by Published Work (Route 2)
TRANSFER	
RD2(MP)	Application for Transfer of Registration from Master of Arts/Law/Science to Master of Philosophy
RD2(PhD)	Application for Transfer of Registration from Master of Arts/Law/Science to Master of Philosophy
ANNUAL REVIEW	
RDAR	Annual Review Form for Postgraduate Research Students
EXAMINATION	
RD6(PhD)	Application for Approval of Examiners for the Degree of Doctor of Philosophy
RD6(MP)	Application for Approval of Examiners for the Degree of Master of Philosophy
RD6(MR)	Application for Approval of Examiners for the Degree of Master of Arts /Law/Science (By Research)
RD6(PHDPUB)	Application for Approval of Examiners for the Degree of Doctor of Philosophy by Published Work (Route 2)
RD7(PhD)	Preliminary Report and Recommendation of an Examiner on a Candidate for the Degree of Doctor of Philosophy
RD7(MP)	Preliminary Report and Recommendation of an Examiner on a Candidate for the Degree of Master of Philosophy
RD7(MR)	Preliminary Report and Recommendation of an Examiner on a Candidate for the Degree of Master of Arts/Law/Science (By Research)
RD8(PhD)	Recommendation of the Examiners on a Candidate for the Degree of Doctor of Philosophy
RD8(MP)	Recommendation of the Examiners on a Candidate for the Degree of Master of Philosophy

RD8(MR)	Recommendation of the Examiners on a Candidate for the Degree of Master of Arts/Law/Science (By Research)
RD8R(PhD)	Recommendation of the Examiners on a Candidate for the Degree of Doctor of Philosophy – Re-examination
RD8R(MP)	Recommendation of the Examiners on a Candidate for the Degree of Doctor of Philosophy – Re-examination
RD8R(MR)	Recommendation of the Examiners on a Candidate for the Degree of Master of Arts/Law/Science (By Research) – Re-examination
RDORAL	Notification of Arrangements for Oral Examination
MISCELLANEOUS	
RD3	Application for Change in Approved Arrangements for Supervision
RD4	Application for Extension of Period of Registration
RD5	Application for Suspension of Period of Registration
RDCP	Notification of Change in Approved Programme of Study
RDCV	Curriculum Vitae Form
RDDEC	Declaration Form (completed and handed in with the first submission Of the thesis)
RDEXIT	Exit Form (completed and handed in with the final bound copy of the thesis)
RDMS	Notification of Change in Approved Mode of Study
RDPRE-REG	Pre-registration Form (completed at first enrolment)
RD9	Record of Supervisory Meetings

The candidate shall ensure that the thesis format is in accordance with the following requirements. If a candidate wishes to have fuller guidance, reference may be made to the current British Standards Institution specification BS 4821[NB: Out of Print]. Where the University's regulations differ from BS 4821 in points of detail, a candidate may follow either.

- (i) Theses shall normally be in A4 format; the Academic Board Research Degrees Committee may give permission for a thesis to be submitted in another format;
- (ii) copies of the initial thesis submitted for examination shall be presented in a permanent and legible form either in typescript or print;
- (iii) the thesis may be printed on one or both sides of the page; the paper shall be white and within the range 70 g/m² to 100 g/m²;
- (iv) the margin at the left-hand binding edge of the page shall not be less than 40mm; other margins shall not be less than 15mm;
- (v) 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;
- (vi) pages shall be numbered consecutively through the main text, including photographs and/or diagrams included as whole pages;
- (vii) the title page shall give the following information:

- 1 the full title of the thesis;
- 2 the full name of the author;
- 3 that the degree is awarded by the University;
- 4 the award for which the thesis is submitted;
- 5 the title(s) of the department(s) or other unit(s) of the University;
- 6 the Collaborating Establishment(s), if any; and
- 7 the month and year of submission;

- (viii) the bibliography should be complete, comprehensive and comply with one of the formal systems, eg Harvard, etc.;
- (ix) the font must either be Arial, Times New Roman or Tahoma
- (x) the font size of the main body of the text within the thesis must be at least 11 point.

Submission for Examination

The candidate may submit the thesis for examination either in a permanent cover or in a temporary cover, which shall be perfect-binding (or glued). A thesis submitted in perfect-binding shall be in its final form in all respects save the cover. **Ring binding, spiral binding and other similar loose-leaf formats are not acceptable.**

Submission for Conferment of Award

The candidate **must** submit the final copy of the thesis either electronically or in hard copy format before the degree can be awarded..

If the thesis is to be submitted electronically, this may be in word or pdf format and submitted via email, on a USB stick or CD.

Where the thesis is to remain confidential or where there is material other than in the written form or there are copyright issues a final hard bound copy must be submitted.

If submitting the thesis in hard copy format, the thesis must be presented with a permanent rigid cover in perfect-binding as follows:

- (i) the binding shall be of a fixed type so that leaves cannot be removed or replaced; the front and rear boards must have sufficient rigidity to support the weight of the work when standing upright; and
- (ii) in at least 24pt type the outside front board shall bear the title of the work, the name and initials of the candidate, the degree, and the year of award; the same information (excluding the title of the work) shall be shown on

the spine of the work, reading downwards. The front and rear boards of the thesis can be in any colour but the lettering must be in a gold colour.

**QAA CODE OF PRACTICE FOR THE ASSURANCE OF ACADEMIC QUALITY
AND STANDARDS IN HIGHER EDUCATION**

Section 1: Postgraduate research programmes

The Precepts

Institutional arrangements

- 1 Institutions will put in place effective arrangements to maintain appropriate academic standards and enhance the quality of postgraduate research programmes.
- 2 Institutional regulations for postgraduate research degree programmes will be clear and readily available to students and staff. Where appropriate, regulations will be supplemented by similarly accessible, subject-specific guidance at the level of the faculty, school or department.
- 3 Institutions will develop, implement and keep under review a code or codes of practice applicable across the institution, which include(s) the areas covered by this document. The code(s) should be readily available to all students and staff involved in postgraduate research programmes.
- 4 Institutions will monitor the success of their postgraduate research programmes against appropriate internal and/or external indicators and targets.

The research environment

- 5 Institutions will only accept research students into an environment that provides support for doing and learning about research¹ and where high quality research is occurring.

¹Please see the definition of 'research' at the beginning of the QAA document.

Selection, admission and induction of students

- 6 Admissions procedures will be clear, consistently applied and will demonstrate equality of opportunity.
- 7 Only appropriately qualified and prepared students will be admitted to research programmes.

- 8 Admissions decisions will involve at least two members of the institution's staff who will have received instruction, advice and guidance in respect of selection and admissions procedures. The decision-making process will enable the institution to assure itself that balanced and independent admissions decisions have been made, that support its admissions policy.
- 9 The entitlements and responsibilities of a research student undertaking a postgraduate research programme will be defined and communicated clearly.
- 10 Institutions will provide research students with sufficient information to enable them to begin their studies with an understanding of the academic and social environment in which they will be working.

Supervision

- 11 Institutions will appoint supervisors who have the appropriate skills and subject knowledge to support, encourage and monitor research students effectively.
- 12 Each research student will have a minimum of one main supervisor. He or she will normally be part of a supervisory team. There must always be one clearly identified point of contact for the student.
- 13 Institutions will ensure that the responsibilities of all research student supervisors are clearly communicated to supervisors and students through written guidance.
- 14 Institutions will ensure that the quality of supervision is not put at risk as a result of an excessive volume and range of responsibilities assigned to individual supervisors.

Progress and review arrangements

- 15 Institutions will put in place and bring to the attention of students and relevant staff clearly defined mechanisms for monitoring and supporting student progress.
- 16 Institutions will put in place and bring to the attention of students and relevant staff clearly defined mechanisms for formal reviews of student progress, including explicit review stages.
- 17 Institutions will provide guidance to students, supervisors and others involved in progress monitoring and review processes about the importance of keeping appropriate records of the outcomes of meetings and related activities.

Development of research and other skills

- 18 Institutions will provide research students with appropriate opportunities for personal and professional development.

- 19 Each student's development needs will be identified and agreed jointly by the student and appropriate academic staff, initially during the student's induction period; they will be regularly reviewed during the research programme and amended as appropriate.
- 20 Institutions will provide opportunities for research students to maintain a record of personal progress, which includes reference to the development of research and other skills.

Feedback mechanisms

- 21 Institutions will put in place mechanisms to collect, review and, where appropriate, respond to feedback from all concerned with postgraduate research programmes. They will make arrangements for feedback to be considered openly and constructively and for the results to be communicated appropriately.

Assessment

- 22 Institutions will use criteria for assessing research degrees that enable them to define the academic standards of different research programmes and the achievements of their graduates. The criteria used to assess research degrees must be clear and readily available to students, staff and external examiners.
- 23 Research degree assessment procedures must be clear; they must be operated rigorously, fairly, and consistently; include input from an external examiner; and carried out to a reasonable timescale.
- 24 Institutions will communicate their assessment procedures clearly to all the parties involved, ie the students, the supervisor(s) and the examiners.

Student representations

- 25 Institutions will put in place and publicise procedures for dealing with student representations that are fair, clear to all concerned, robust and applied consistently. Such procedures will allow all students access to relevant information and an opportunity to present their case.

Complaints

- 26 Independent and formal procedures will exist to resolve effectively complaints from research students about the quality of the institution's learning and support provision.

Appeals

- 27 Institutions will put in place formal procedures to deal with any appeals made by research students. The acceptable grounds for appeals will be clearly defined.

ASSESSMENT GUIDELINES FOR THE THESIS ELEMENT OF THE DOCTOR OF EDUCATION PROGRAMME

It is expected that successful candidate will be able to demonstrate the ability to design, conduct, analyse and report an original investigation, including the ability to evaluate the strengths and weaknesses of the investigation and its claims to knowledge, and make an original contribution to professional knowledge and understanding in their professional field.

The examiners should be satisfied that, at the end of the period of study (minimum, 54 months), the thesis makes a substantial original contribution to knowledge or understanding; and that the candidate can demonstrate the development of their understanding of research issues by reference to their coursework assignments if relevant and necessary to discussion within the *viva voce* examination.

Whilst the *viva voce* examination should focus on the thesis element of the Doctor of Education programme, assessed work in Phases A and B of the Doctor of Education programme should demonstrate that the candidate has¹:

- clearly understood and assimilated relevant literature and has a thorough knowledge of, and is able to critically appraise, such literature;
- the capacity to relate their reading to key professional issues in their field, including ethical issues, and to relate theory to practice in their professional field;
- the capacity to discuss and evaluate, with fluency and consistency, evidence and theories drawn from a wide range of sources;
- the capacity to analyse problems and issues related to their professional contexts of action;
- the capacity for critique and reflective engagement with particular topics;
- the capacity to conduct and report empirical research properly, as necessary, and with appropriate reflexivity; and
- the capacity to present and discuss the implications of their analyses with respect to changes in policy and practice.

In summary the candidate is required to show distinct ability to conduct original investigations, to test ideas (whether the candidate's own or those of others) and to understand the relationship of the theme of these investigations to a wider field of knowledge. The thesis should show evidence of sufficient industry and application. The thesis should represent a significant contribution to learning, for example through the

¹ During Phase A of the Doctor of Education programme candidates are assessed on five written elements. Two assignments focus on issues relating to professionalism and intervening as a professional and two focus on research methods and methodologies, the final assignment focusing on preparing for the thesis. All these assessed pieces of work have been confirmed by the Phase A Examination Board as successful in order for the candidate to proceed to Phase B (the thesis phase).

discovery of new knowledge, the connection of previously unrelated facts, the development of a new theory or the revision of older views, the creative application of existing knowledge or theory, or an application of existing knowledge or theory to a new social, cultural or geographical setting. (*June, 2003*)

ASSESSMENT CRITERIA FOR THE THESIS ELEMENT OF THE PROFESSIONAL DOCTORATE IN HEALTH

The examiners should be satisfied that, at the end of the period of study, the thesis makes a substantial and original contribution to knowledge or understanding, and that the candidate can demonstrate the development of their understanding of research issues by reference to their coursework assignments if relevant and necessary to discussion within the *viva voce* examination. Whilst the *viva voce* examination should focus on the thesis element of the Professional Doctorate programme, assessed work in Part 1 of the programme should demonstrate that the candidate has, as appropriate to their profession:

- clearly understood and assimilated relevant literature and have a thorough knowledge of, and are able to critically appraise, such literature;
- the capacity to relate their reading to key professional issues in their field, and to relate theory to practice in their professional field;
- the capacity to discuss and evaluate, with fluency and consistency, evidence and theories drawn from a wide range of sources;
- the capacity to analyse problems and issues related to their professional contexts of action;
- the capacity for critical and reflective engagement with particular topics;
- the capacity to conduct and report empirical research properly, as necessary, and with appropriate reflexivity;
- the capacity to present and discuss the implications of their analyses with respect to changes in policy and practice.

ASSESSMENT GUIDELINES FOR THE DOCTOR OF PHILOSOPHY

The examination team are required to make a judgement on the examination against the following criteria:

- a) the subject matter of the thesis;
- b) the quality and quantity of the work presented in the thesis;
- c) the exposition and presentation of the thesis;
- d) an evaluation of the thesis as an original contribution to the advancement of knowledge;
- e) the candidate's critical appreciation of the field of study and background relevant to their work;
- f) the candidate's performance in the oral examination.

ASSESSMENT GUIDELINES FOR THE DOCTOR OF PHILOSOPHY (BY PUBLISHED WORK)

- a) the capacity to relate their reading to their field;
- b) the capacity to analyse problems and issues related to their field;
- c) the capacity for critical and reflective engagement with particular topics;
- d) the capacity to conduct and report empirical research properly, as necessary, and with appropriate reflexivity;
- e) the capacity to present and discuss the implications of their analyses with respect to their field;
- f) the capacity to explore the relationship between the published work and the analytical commentary.

ASSESSMENT GUIDELINES FOR THE MASTER OF PHILOSOPHY AND MASTERS (BY RESEARCH)

The examination team are required to make a judgement on the examination against the following criteria:

- a) the subject matter of the thesis;
- b) the quality and quantity of the work presented in the thesis;
- c) the exposition and presentation of the thesis;
- d) the candidate's critical appreciation of the field of study and background relevant to their work;
- e) the candidate's performance in the oral examination.

A General principles applying to the approved variation of assessment for disabled students or for exceptional cases

1. Students should disclose to the University at the earliest opportunity any disability they may have requiring learning support to enable them to engage fully and satisfactorily with their academic programme and its associated assessments.
2. Boards of Examiners must consider disabled students' assessment results in the normal manner without adjustment, except where it can be shown that the required support was not provided in which case they should make allowances for this in accordance with these regulations and guidelines and the University's assessment and other academic regulations.
3. Should, for whatever reason, a student's disability not be known in time for appropriate learning support to be put in place and/or for appropriate assessment adjustments to have been made, and the Board considers the performance of the student to have been adversely affected by the disability, then the regulations for taking into account factors affecting performance in examinations shall apply.
4. If a student is unable, through disability, to be assessed by the normal methods (as set out in the Programme Definitive Document), the Board of Examiners may vary the methods as appropriate, bearing in mind the objectives of the programme and the need to assess the student on equal terms with other students and having regard for the University's and the programme's assessment and progression principles and regulations. The Chair of the relevant Board of Examiners may vary the methods of assessment on the Board's behalf where circumstances so warrant.

There may be a broader reason than disability which would justify a modification in assessment procedures and requirements and Boards of Examiners, and their chairpersons acting on their behalf, may consult and apply these regulations and guidelines in a manner appropriate to each case.

5. Disabled students shall be assessed on equal terms with other students and in all cases students must demonstrate achievement and fulfilment of the programme's required progression and award learning outcomes through a method or methods approved by the Board of Examiners or the Chair of the Board acting on its behalf.

The definition of disability includes specific learning difficulties, including dyslexia, dyspraxia, developmental co-ordination disorder (DCD), dyscalculia and attention deficit disorder.

6. Students' marks or grades for assessments shall not be raised or otherwise modified because of their disabilities. Assessment outcomes will in all cases reflect the academic judgement of the Board of Examiners of the assessment outcomes demonstrated by students having taken into account students'

disabilities.

Boards of Examiners should be informed of disabled students' agreed Personal Support Plan recommendations. See paragraphs 8 – 10 below.

7. The normal length of a student's programme (as specified in the relevant award benchmark statement) may be extended where the student's disability makes it appropriate to do so. The length of extension shall be determined having regard for the student's circumstances and needs and for any relevant professional advice received.
8. In order to be allowed to undergo assessment through other than the normal methods, students with disabilities must have provided relevant evidence to the university's Learning Development and Disability Service. Following discussion with a Learning Support Adviser, a Personal Learning Plan will be drawn up; this must be considered and agreed by the relevant Head of Department or other senior academic manager responsible for their programme and the students thereon.

See section C below on procedures.

9. Learning Support Plans, and any recommendations made in connection therewith to vary a student's methods of assessment, shall have regard for the student's programme learning and assessment requirements as set out in the Programme Definitive Document.
10. Boards of Examiners shall be informed of agreed Personal Learning Plan recommendations relating to the assessment of individual students so that these can be taken into account in making a final academic judgement on each student's performance.
11. Reasonable adjustments may be made in respect of disabled students to assessment methods and the conditions under which assessments are taken, providing these can be resourced and sustained by the budget allocated or funding provided for these purposes by either the university or an external source.
12. Except where circumstances arising from a student's disability make it impossible to do so, the University's procedures for the anonymous marking of formal assessments shall be complied with. It will be for the Chair of the Board of Examiners concerned to approve any departure from or variation of the procedures and to inform the student of this accordingly.
13. In instances when courses are accredited by professional bodies, assessment arrangements shall comply with the regulations of the accrediting body.

Students should be advised to contact the relevant professional body in good time to ascertain whether any dispensation or other adjustments may be granted.

B Guidelines

1. The University is committed to the principle of employing assessment methods which are both appropriate to course academic objectives and commensurate with meeting the recognised special needs of those being assessed. In order to do so equitably, these guidelines and the procedures which follow them should be complied with.
2. Students who have a disability, including specific learning difficulties, should inform the University of these in good time so as to enable University staff to respond appropriately to their needs and to initiate arrangements for organising their effective assessment. Normally this should be at least two months prior to the examination/assessment.

Where through, for example, late diagnosis a student's disability and/or specific learning difficulty is not known to the university in good time for alternative assessment methods to be considered and implemented for that student, then the student's assessments may be deferred until such time as this can be done. See also C 2 below.

3. Students should ensure that their Head of Department (or equivalent) and relevant tutors and other staff are aware of their disability and discuss with them any variation in assessment conditions which may have been recommended in their Personal Learning Plan (see C 3 below).
4. Wherever possible, disabled students should undertake the same assessments as others undertaking the course. The usual way of making a reasonable adjustment to take into account the effect of a student's disability will be to vary the assessment conditions rather than content or method. For example, a scribe may be provided, the time allowed for the examination may be extended or the examination paper may be presented in an alternative form. Where the nature of the disability makes it impossible for a certain form of assessment to be used, the Board of Examiners (or the Chair on its behalf) must ensure that any alternative form of assessment is of the same standard and presents a comparable level of challenge.
5. When adjustments to assessment conditions have been made or alternative forms of assessment used to take account of disability, no further adjustment should be made at the marking stage as marking criteria must relate solely to a student's demonstration of achievement and fulfilment of the required learning outcomes (see A 5 above).
6. Disabled students should be assessed in such a way that they are neither systematically penalised nor systematically advantaged. In order to make judgements as to the nature and extent of the variation in assessment methods appropriate to any particular candidate, the relevant Head of Department (who will normally be the Chairman of the Board of Examiners) should make use of all the information available, including taking advice from relevant agencies within and outside the University where appropriate.
7. Further advice and guidance on alternative assessment is available from Learning Support and the Head of Learning and Teaching.

C Procedures

1. Specific arrangements should be identified at the beginning of the student's programme or as close thereto as possible but this will depend, inter alia, knowledge at that time of the student's disability. However, it is recognised that this is not always possible; there may be changes in the effect of a disability; a student may only have become aware of the disability after they have begun their studies; and, from time to time, alternative arrangements will need to be made for students with temporary disabilities or sudden illness.
2. Disabled students should contact the Learning Development and Disability Service as soon as they can so that all aspects of their learning and study support needs can be identified and a Personal Learning Plan prepared. This will normally need to be done at least two months in advance of any examination or other form of assessment the student may wish to have modified arrangements approved for. Students should present appropriate documentary evidence of their condition such as:
 - a written statement or report from a registered medical practitioner
 - a diagnostic report provided by a chartered, educational, clinical and works psychologist, or an individual qualified in assessing students with specific learning difficulties.
3. Personal Learning Plans (PLP) should be prepared by Learning Support Advisers in conjunction with the student concerned having regard for his/her programme learning and assessment requirements as set out in the Programme Definitive Document. The PLP should indicate suitable modifications to assessment arrangements to minimise the impact of the student's disability on assessment performance. The implementation of recommended modified arrangements then must be negotiated with the Chair of the Board of Examiners (normally the Head of Department), or his/her nominee for this purpose, and a written statement of agreed modifications obtained.

The Chair (or his/her nominee) should sign the PLP to indicate acceptance of its recommendations or provide a separate statement of modifications agreed with the student where these differ from those recommended in the PLP.
4. An individual PLP should also indicate any specific provision considered appropriate for assignments undertaken on a continuous assessment basis as well as for formal written examinations.
5. Students who require alternative arrangements due to sudden illness or temporary disability should contact their Head of Department as soon as possible. Any such request must be supported by medical evidence. Where, for valid reason, it is not possible to make alternative arrangements in such cases, the Head of Department may arrange for the assessment(s) concerned to be postponed.

D Practical Arrangements

1. Agreed PLP modified examination arrangements may have implications for time schedules, invigilation procedures, room arrangements and the provision of examination papers in particular formats, and these will need to be taken into account as soon as possible within the constraint of available resources. It is important, therefore, that those responsible for examination arrangements are informed in good time of any special requirements.
2. The following are examples of common arrangements:

2.1 **Time-related changes**

(i) Additional time allowances

The extent of additional time allowances will depend on the needs of the individual student. Normally, the additional time allowed will range from 15 minutes to 30 minutes per hour but even this may be exceeded in exceptional cases where a professional recommendation has been made to that effect.

(ii) Rest breaks

Some students may need rest breaks during the examination. This may be to relieve pain or to attend to personal needs. In general 10 minutes per hour may be allowed for rest breaks. The scheduling of these may be determined in advance. Alternatively they may be taken when required by the student, timed by the invigilator and added onto the time allowed for the examination.

(iii) Flexible schedules

In some cases disabled students may require flexibility in the scheduling of examinations. For example, some students may find it difficult to manage a number of examinations in quick succession and need to have examinations scheduled over a period of days.

2.2 **The Use of Specific Personnel**

(i) Interpreter

Students who use sign language may require an interpreter at the start of an examination if instructions are delivered orally.

(ii) Reader

Students who are unable to read print or students who access auditory information better than visual information may require a reader. Additional time should be allowed due to the extra demands involved. A student using a reader will also require a separate room and invigilator.

(iii) Scribe

Disabled students with restricted ability to write, type or maintain the posture required for writing or students who present information better in oral than written form may require a scribe. If possible, the student should be given an opportunity to practise with the scribe beforehand. Additional time, normally not more than up to 50% extra, should be provided for

examinations dictated to a scribe and a separate room and invigilator will be necessary for the examination.

(iv) **Personal Care Attendant**

Some students may be accompanied by a personal care attendant.

Arrangements should be made for such an attendant to be able to sit in close proximity to the student and invigilators should be informed of the role of the personal care attendant.

3.3 Assistive Technology

Specific equipment may need to be available to the student in an examination. Such arrangements often include the use of personal computers and word processors, voice activated software and screen readers. Where assistive technology is required then arrangements should be made in consultation with the student and Learning Support.

The use of a computer in written examinations is not normal practice and a recommendation for one to be used can only be made where there is sufficient evidence of the nature and extent of the effect of the student's condition.

3.4 Oral Examination

Where appropriate, the assessment of a disabled student may be augmented by an oral examination (“viva voce”) conducted by internal examiners approved for this purpose by the Board of Examiners or Chair acting on the Board's behalf.

E T Types of Disability and related assessment arrangements

1. Outlined below are some of the broad types of disability and suggestions for modified assessment strategies. In formalising such arrangements it is important to follow the guidance and procedures outlined above. Any modifications to assessment arrangements should be discussed and agreed with the student concerned and approved by the Chair of the relevant Board of Examiners (normally the Head of Department or equivalent) who will also need to identify where the responsibility for resourcing the arrangements will lie.

2. Dyslexia (Specific Learning Difficulty)

Students with dyslexia may have a range of difficulties with receiving, processing, expressing or retrieving information which affects their ability to function effectively in one or more area such as reading, writing, following directions, spelling, grammar or expressing ideas in writing.

The provision of study skill assistance together with additional time allowances in assessments will help dyslexic students manage difficulties they may have in relation to spelling, syntax, grammar and punctuation. If a student is concerned that his/her performance in assessment has been adversely affected because of poor spelling, syntax, grammar and punctuation attributable to his/her dyslexia, he/she should communicate that concern to the

Board of Examiners (in accordance with the procedure for disclosing to Boards of Examiners exceptional factors affecting their assessment performance) so that it may take this into account in determining his/her results.

A variety of modifications may be required, including:

- additional time for examinations, 25% is usually recommended;
- a reader or scribe;
- overlaying the question paper with a coloured acetate sheet;
- examination papers printed on coloured paper;
- flexibility of wordage requirements in assessed course work;
- use of a computer – *but see note below*.

Boards of Examiners will be made aware, through Personal Learning Plans, of students' dyslexia and of whether this will need to be taken into account in relation to students' spelling, syntax, grammar and punctuation in their overall assessment performance.

3. Deaf or hard of hearing students

Deaf students and hard of hearing students may use speech, lip-reading, a hearing aid, a loop, sign language or a combination of these. Individual students have different methods of communicating which need to be considered in respect of the assessment procedure. In examinations where a deaf or hard of hearing student is present invigilators should face the student and speak clearly when issuing instructions.

The majority of pre-lingual profoundly deaf students may be sign language users and this may be regarded as their first language. Sign language is linguistically different to English; variation of context may arise and be of particular relevance to the language structure needed to understand the assessment question. This may also affect the student's command of spelling and grammar.

Appropriate strategies may include any of the following:

- an interpreter in attendance at examinations to sign questions;
- additional time, particularly if an interpreter is required;
- seating close to the invigilator;
- procedural instructions conveyed in writing;
- language modified paper.

4. Blind or Visually Impaired Students

Students who are visually impaired have a loss of vision ranging from low vision to no vision at all, which may lead to an inability to read examination questions in standard print and an inability to decipher handwriting when answering questions in examination conditions.

A blind student may need the following modifications:

- examination questions in an alternative medium e.g. Braille or tape;
- technological equipment for reading e.g. a closed circuit television to enlarge written text;
- assistive technology for producing written answers e.g. voice

- recognition software;
- a reader and a scribe;
- alternative venues with appropriate lighting;
- orientation if examinations are held in unfamiliar venues.

Special arrangements may be necessary if the student is accompanied by a guide dog.

5. Students with physical disabilities

Such disabilities include mobility difficulties and chronic pain. These give rise to a range of individual requirements.

Students may require a combination of the following adjustments:

- personal assistance;
- additional time both for rest breaks and to compensate for slow speed of writing;
- assistive technology;
- the services of a scribe;
- ergonomic furniture;
- an accessible venue.

Any need for special furniture should be identified by the student in advance and in good time.

6. Students with chronic medical conditions

There are many conditions in this category such as epilepsy, ME, diabetes, asthma, cystic fibrosis and others. Many of these conditions are controlled by medication which may affect the performance of the candidate. Allowances should be made for this. In some cases rescheduling of examinations may be necessary to allow medical or dietary needs to be met.

Students must inform the Head of Department of any chronic medical condition and any action which should be taken in an emergency and invigilators should be informed accordingly.

7. Students with communication difficulties

Communication difficulties may include speech that is difficult to understand, stuttering or an inability to communicate orally. Students undertaking oral assessments may require the services of an interpreter or a personal computer with voice synthesizer. Students will require additional time to complete such assessments.

8. Students with mental health difficulties

Students with mental health difficulties may find academic assessments particularly demanding. If students have been prescribed medication this may affect their performance in assessments.

It may be necessary to consider flexible deadlines for assessed course work,

additional time and flexible schedules for examinations and other forms of assessments to replace oral presentations. The student may need to be seated near an exit in the examination room or may need a separate room.

Whilst every effort will be made to make reasonable adjustment to the assessment conditions of students with disabilities and/or recognised special needs, the extent to which this can be done in main assessment periods may be restricted by the availability of suitable rooms and/or other physical and human resources. It may therefore be necessary in some cases to reschedule assessments for such students.

Glossary

A S	Access Summit – The Joint Universities Disability Resource Centre; provides DSA assessment and arranges non-medical helpers such as Study Skills Tutors.
DAST	Dyslexia Adult Screening Test – a series of exercises which gives an at risk score (but does not diagnose Dyslexia).
DSA	Disabled Students Allowances administered through LEAs providing support for disabled students to study at University. E.g. Study Skills Tutor, Computer equipment, Dictaphone etc.
FSSO	Faculty Student Support Officer.
LEA	Local Education Authority.
L S	Learning Support Service.
Maximizer	The student information database used in Learning Support.
NMH	Non-medical helper such as Study Skills Tutor
PLP	Personal Learning Plan – makes recommendations for institutional support.
Screening	A structured interview which assesses (but does not diagnose) likelihood of Dyslexia.
Stage 1 AON	An assessment with a Learning Support Adviser that looks at institutional support.
Stage 2 AON	An assessment at Access Summit that looks at support to be provided through DSA.

Flowchart 1 – Disabled/Dyslexic Students Diagnosis and Medical Evidence Procedure

Flowchart 2 – Disabled Students Assessment Procedure

The flowchart can be found on the CASQE website at:
http://www.mmu.ac.uk/academic/grad_regulations.php

Employment of Full Time Postgraduate Research (PGR) Students as Graduate Teaching Assistants (GTAs)

Introduction

Full time PGR students may wish to use the opportunity to teach and this 'learning opportunity' should be, where possible, available to all PGR students. It is not mandatory towards their studies and students can choose whether they wish to teach. However, teaching is not a compulsory element of skills development and the University is not obliged to offer a PGR student any teaching experience.

Employment of full time PGR students as GTAs can be an excellent development opportunity and is to be encouraged. This framework covers the employment of all full time PGR students as GTAs by faculties in their responsibilities for teaching and learning.

The University acknowledges that employment of PGR students carries a responsibility and that any teaching undertaken by a PGR student should not compromise their ability to complete their research degree programme successfully within the allotted time period stated in the Code of Practice and Regulations for Postgraduate Research Programmes of the University².

The University recognizes that PGR students should be provided with appropriate training before they undertake any teaching to ensure that the quality of teaching and learning is safeguarded. In addition, PGR students should be provided with sufficient resources in terms of access to teaching and learning facilities, to allow them to provide a quality teaching experience.

The Research Councils support PGR students' undertaking these activities as it is recognized that such activities provide valuable communication and interpersonal skills for their future careers.

Part time PGR students are not covered by this framework and will need to consult with Human Resources with regards their employment.

Maximum hours of work

Faculties should ensure that any employment of PGR students as GTAs will not endanger their ability to complete their research degree programme within the specified time period. A full-time student should normally devote on average at least 35 hours per week to their research programme and a part-time student should normally devote at least 12 hours per week. [See regulation 10.3].

Employment of a full-time PGR student as a GTA should not normally exceed 6 hours per week and in all cases must not exceed **180 hours per year** averaged over the course of the academic year. The PGR GTAs are hourly paid and subject to role profiles as outlined by Human Resources.

In accepting a contract, the PGR student will also become an employee of MMU and must therefore have eligibility to work in the UK. This eligibility is very important for overseas students and must not compromise their visa status. This would need to be checked by the International Office and Human Resources as part of the selection process.

² Code of Practice and Regulations for Postgraduate Research Programmes of the University

Appointment

PGR students should be carefully selected for their suitability as GTAs and faculties should have clearly publicized mechanism of selection, which complies with equal opportunities guidelines. Posts should be advertised as widely as possible within the appropriate department.

Any PGR student must not undertake any teaching duties unless they have permission from their Director of Studies and Head of Department.

Full-time PGR students should only be expected to teach in their second and third year of their research programme and any teaching should not interfere with the progress of their research degree, especially in the time set by both the University and the student's funding agency (where applicable).

The employment of PGR students is subject to normal employment law and must follow normal HR requirements, policies and guidelines.

The ending of the employment as a GTA will be dealt with independently of the student status, as it is employment in its own right. Ideally the dates will coincide but there is no reason why the employment cannot continue beyond the individual's status as a student.

Payment

Students must receive payment for any teaching undertaken, including those receiving training awards from whatever source (stipend or bursaries). These awards are tax-free for the purposes of undertaking a period of education and training and do not include payment for teaching duties.

PGR students must be employed in approved University roles and receive the commensurate approved rate of pay.

Training

No PGR student should be employed as a GTA unless they have a teaching qualification or they have completed the University approved three-day training course entitled 'New to Teaching'³ offered through the Research Student Development Programme run by the Research, Enterprise and Development Office and delivered by the Centre for Learning and Teaching.

Training needs should be assessed and recorded and any training provided both monitored and evaluated. These requirements apply to all forms of teaching activity undertaken including formal lecturing, seminars and tutorials, workshops, laboratory classes, projects and assessment strategies and marking.

Faculties should ensure that GTAs are assigned a permanent academic member of staff as a mentor and be provided with ongoing support mechanisms for example peer review activities, double marking and additional training if required.

³ New to Teaching --http://www.red.mmu.ac.uk/?page_id=148

Faculties employing PGR students as GTAs must arrange for the student to receive appropriate formal documented information on their ethos and the facilities available for them to undertake their role as GTA (e.g. photocopying, desk space etc.)

Teaching Duties

PGR students should be allowed to provide tutorial support, demonstrate on practical exercises, deliver an occasional lecture and undertake the assessment process but **MUST** not be expected to develop or lead a module. Contribution to demonstration, tutorials or teaching should be formally recognized and recorded as employment with appropriate contractual arrangements and training.

It is the responsibility of the Faculty or Department through the programme leaders to provide clear and comprehensive information to the PGR student to allow them to carry out their duties effectively including module details, course details, administrative requirements, moderation of assessment and other duties that may be required.

PGR students employed as GTAs are responsible to the Head of Department and have the same rights and responsibilities of other lecturers working at the same level.

Quality Assurance

As part of quality assurance monitoring faculties should ensure mechanisms are in place to provide feedback to PGR students on their teaching related activity.

Faculties should also have mechanisms in place to allow PGR students to provide feedback to faculties on any employment related issues.

The Academic Board Research Degree Committee will monitor the feedback of the PGR teaching experience through the Annual Review process.

Departments should not become over dependent on GTAs. The use and training of GTAs should be monitored by Heads of Department and Deans of Faculty.

Grievance and Disciplinary

Any concerns the GTA may have relating to employment will be managed through normal procedures. Every effort should be made to address concerns informally as soon as they arise. However, should this not achieve resolution/improvements, then the normal University Grievance and Disciplinary procedures will apply.

An excellent educational experience depends on the close and effective partnership between the University, its students and the Students' Union.

This Agreement establishes a series of expectations, standards and responsibilities for each partner in that joint activity.

It should be read in conjunction with the University's regulations.

The University will ensure that:

- staff are committed to high standards in teaching, support, feedback and the provision of advice and guidance
- staff participate in Continuing Professional Development to improve the quality of learning and teaching
- statements of the time frame for feedback on submitted work are clearly stated in Programme Handbooks
- staff will give reasonable notice of changes to the teaching timetable and will arrange for classes to be re-scheduled or for alternative delivery of the content, or will explain why this is not possible
- student participation in programme management is encouraged and supported by a variety of means including the system of elected student representatives
- it provides extensive and well publicised access to library, information technology, media resources, and to information, advice and guidance from Student Services, including disability support, counselling, financial and careers advisers
- all students receive a Student Handbook with details of assessment criteria, examination arrangements, guidance and support, academic appeals and complaints procedures
- staff treat students and colleagues fairly and professionally, with respect and consideration

Students at the University will commit to:

- attendance at induction events
- participation in timetabled classes, tutorials and assessment activities
- the election and support of programme representatives and participation in a variety of student feedback systems to improve the quality of learning and teaching
- submission of assessed work by stated deadlines
- observance of the regulations and codes of conduct of the University
- treatment of fellow students and all staff of the University fairly, with respect and consideration
- the prompt payment of fees or other charges to the University

The Students' Union commits to enhance the educational and social development and general wellbeing of students within the University and the wider community by:

- representing student issues across the University and the local region
- supporting student participation in quality management at all levels of the University
- fighting discrimination and promoting equal opportunities by providing a safe space and running awareness campaigns
- assisting students to overcome welfare problems
- ensuring that its members are not disadvantaged whilst enrolled at the University as a result of personal circumstances or ignorance of their rights
- aiding professional development

enriching athletic and social activities