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This document is part of a revised series of Academic Regulations, Policies and Procedures which govern the University's academic provision. Each document has a unique document number to indicate which Section of the series it belongs to.

8A Code of Practice for Research Degrees (Policy, Procedure and Guidelines)

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1   INTRODUCTION

1.1   SCOPE AND PURPOSE

This Code of Practice for Research Degrees (CoP) is the principal guide for those involved with postgraduate research at Bournemouth University (BU). This includes Postgraduate Research students (PGRs) and all staff involved in the provision of postgraduate research degrees, including supervision, administration, assessment and examination. It sets out BU's policy, procedure and guidelines relating to research degrees.

All those involved with research degrees must make themselves familiar with all the relevant regulations, policies, procedures and guidelines.

It aims to:

- ensure that PGRs and staff have a common understanding of their respective roles and responsibilities
- set out policies and procedures which protect the academic standards of BU's research degrees
- set out the processes involved in all stages of a research degree.

The CoP is revised annually to reflect changes in BU policy and national guidelines and in order to continuously improve the research degree experience.

All those involved in research degrees must abide by the current CoP at all times.

BU is committed to providing support as outlined in this CoP. All PGRs will be allocated with a supervisory team throughout their research degree, provided BU has the appropriate subject knowledge and capacity within the current academic staff base.

1.2   KEY RESPONSIBILITIES

Responsibility for drafting and reviewing policies and procedures for research degrees as set out in this CoP lies with the Doctoral College and University's Research Degrees Committee (RDC), in consultation with Academic Quality.

Implementation of these policies and procedures is the responsibility of the faculties and is monitored by the Doctoral College. Other administrative and quality assurance responsibilities for research degrees also lie with the Faculties, the Doctoral College and Academic Quality.

1.3   RELATED BU DOCUMENTS & POLICIES

1.3.1. BU Academic Regulations, Policies and Procedures

This document is part of BU's Academic Regulations, Policies and Procedures (ARPPs) which govern the University's academic provision. Other documents with direct relevance to this CoP are:

- 2A Awards of Bournemouth University: Policy
- 3A Standard Admissions Regulations: Postgraduate Research Degrees
- 3B Recruitment, Selection and Admission (Postgraduate Research Degrees): Policy and Procedure
- 4A Programme Approval, Review and Closure: Policy
- 4B Programme and Unit Modifications: Policy
- 4C Panel Members for Programme Approval, Review and Closure: Procedure
- 6A Standard Assessment Regulations: Postgraduate Research Degrees
- 6H Academic Offences- Policy and Procedure for Taught Awards
- 6M Research Misconduct: Policy and Procedure
- 8B Research Ethics Code of Practice: Policy & Procedure
- 11C Academic Appeals: Policy and Procedure for Research Awards
- 11F Student Complaints: Policy and Procedure
- Research Awards Appeals Board: Guidance

- [Research Data Policy and Procedures](#)
- [Publications Policy and Procedures](#)
- [BU Code of Good Research Practice](#).

The ARPPs are all available on the [Student](#) and [Staff](#) portals and further information, where relevant, is outlined in this CoP.

1.3.2. Equality and Diversity

When PGRs enrol at BU, they become part of a diverse community of students and staff from a wide range of backgrounds. BU is committed to developing an inclusive environment, where all who study and work at BU are treated with dignity and respect and are given the opportunity to achieve their potential irrespective of their background and BU expects all students to behave in a manner that supports this.

Bullying, harassment or victimisation of any sort, including through social media, will not be tolerated and allegations of this nature will be considered under the [Student Disciplinary Procedure](#). To discuss any equality matters, PGRs should contact [AskBU](#) or find out more about the BU commitment [online](#).

1.4   RESEARCH DEGREE AWARDS OF THE UNIVERSITY

1.4.1. Postgraduate Research Degrees

BU confers the awards listed in [2A Awards of Bournemouth University: Policy](#) and for PGRs who successfully complete approved programmes of supervised research the following degrees may be awarded:

  i.   Master's by Research (MRes)
  ii. Master of Philosophy (MPhil)
  iii. Doctor of Philosophy (PhD)
  iv. Doctor of Philosophy (PhD) by Publication
  v.   Doctor of Professional Practice (DProf)*
  vi. Doctor of Engineering (EngD)*
  vii. Doctor of Education (EdD)*
  viii. Doctor of Business Administration (DBA)*.

*These postgraduate research programmes may include taught credit-rated components. Further details will be available in relevant programme handbooks.

Details of these awards are provided in the relevant sections of this CoP.

2   RESEARCH ENVIRONMENT

2.1   THE FACULTIES

Postgraduate research at BU is carried out within our facilties and our Business School:

- Bournemouth University Business School (BUBS)
- Faculty of Health & Social Sciences (FHSS)
- Faculty of Media & Communication (FMC)
- Faculty of Science & Technology (FST).

Faculty level support for PGRs is delivered through the Faculty Doctoral School, which is led by the Deputy Dean (Research) (DD(R)) or nominee, although the model may vary between faculties. The primary source of this discipline specific research and professional practice support is the supervisory team (see Chapter 4). Overall faculty level responsibility and/or authorisation for PGR progression, experience and support rests with the DD(R) or nominee, in conjunction with the Faculty Research Degrees Committee (FRDC).

Faculties are divided into discipline specific departments, each of which has a Departmental PGR Lead who oversees departmental level PGR activity:

BUBS	FHSS	FMC	FST
Accounting, Finance & Economic	Medical Science & Public Health	Communication & Journalism	Archaeology & Anthropology
People & Organisations	Midwifery & Health Sciences	Humanities & Law	Computing & Informatics
Marketing, Strategy & Innovation	Nursing Science	Media Production	Creative Technology
Sport and Events Management	Rehabilitation & Sport Sciences	National Centre for Computer Animation	Design & Engineering
	Social Sciences & Social Work		Life & Environmental Sciences
			Psychology

2.2   THE DOCTORAL COLLEGE

2.2.1.   Doctoral College Remit

The Doctoral College has university-wide responsibility for the PGR student experience as well as having a central role overseeing the development, implementation and quality assurance of BU's research degree provision. The Doctoral College provides an academic and interdisciplinary focus for PGRs across BU, with opportunities for PGR research, professional and personal development, and promotes good practice to ensure both academic quality and consistency in approach and experience.

Further details can be found at http://www.bournemouth.ac.uk/doctoral-college and on the Doctoral College Brightspace.

The key responsibilities of the Doctoral College include:

Research Degree Policy*	Admissions & Awards	Postgraduate Research Administration	Research Development and Culture
Review & development of research degree regulations, policies and procedures	Responding to research degree enquiries	Administration of PGRs throughout	Facilitation of the Researcher Development Programme
Implementation of policies	Administration of research degree admissions	Monitoring PGR progression	Organisation of the Annual PG Research Conference & other academic events
Reporting on research degree data and monitoring of performance	Administration of research degree examinations	Arrangements of PGR milestone reviews	Development of Research Community
	Administration of research degree awards	Auditing PGR engagement	Advancing PG Research Culture
		Support for faculty PGR community	
		Advice for PGRs, Supervisors & DDs	

*in consultation with University's Research Degrees Committee (RDC) and Academic Quality

2.2.2. Researcher Development Programme (RDP)

In accordance with the Concordat to Support the Career Development of Researchers, researchers are expected to engage in a minimum of 10 days professional development *pro rata* per year. How this is achieved will be individual to each PGR's needs.

The Doctoral College Researcher Development Programme (RDP) is designed to support PGRs' independent learning and progress, offering the flexibility to enhance research skills and professional development. With the support of their supervisory team, PGRs should identify and document their strengths and training needs and review their development regularly. A training needs analysis template can be found on the Doctoral College Brightspace.

2.3 PROFESSIONAL AND SUPPORT SERVICES

BU also has a number of professional and support services which provide support throughout a PGR's enrolment, which include but are not limited to:

Service		Details
AskBU	Central advice for all non-academic student enquiries	AskBU: contact us	Bournemouth University
Accommodation Service	Specialised advice about the accommodation process, current housing situation and support to all UK, EU and International PGRs.	Accommodation options for new students	Bournemouth University
Employability Service	Access to a learning community, extracurricular opportunities, networking events and support	Employability	Bournemouth University
IT Services	Specialised support for any BU-related hardware or software available from the IT Service Desk 24 hours a day, seven days a week	Need IT help?	Bournemouth University
Learning Support	Dedicated support and advice for students requiring additional learning support	Additional Learning Support	Bournemouth University
Library	The Library provides access to essential services (e.g., library databases, books, interlibrary requests, and reference management tools); study spaces; and helpful advice to support PGRs in their learning and research.	Library	Bournemouth University Contacts for 1-2-1 & subject specialist advice: • HSSlibteam@bournemouth.ac.uk

	Email bordar@bournemouth.ac.uk for any queries relating to managing or depositing research data.	• BUBSlibteam@bournemouth.ac.uk • FMClibteam@bournemouth.ac.uk • SciTechlibteam@bournemouth.ac.uk
Students' Union	SUBU represents and provides services to all students at BU. Union membership is automatic and free, and includes access to the advice, clubs and societies, volunteering opportunities and student representation.	Student life | Bournemouth University
Student Wellbeing	The dedicated Student Wellbeing service offers a range of health and wellbeing support services accessible throughout – and ahead of enrolment.	Student wellbeing | Bournemouth University

A wider list of student support services can be found on the Doctoral College Brightspace.

3   PGR ROLES AND RESPONSIBILITIES

3.1   ROLES AND RESPONSIBILITIES

3.1.1. All PGRs

PGRs should be aware of their roles and responsibilities, which are principally to:

- accept responsibility for their own research activity
- adhere to all BU's regulations, policies, procedures and guidelines and should refer to those outlined in Section 1.3.1 and in the rest of this CoP. This includes terms and conditions for PGRs on studentships or scholarships
- plan their research project, that is achievable within the expected timeframe for completion, maintain timely progress in accordance with the key milestones and keep a systematic record of progress
- maintain regular contact (normally at least once per month) with their supervisory team and record supervisory engagement monthly on ProGRess
- agree with supervisory team an appropriate schedule of meetings, provide timely presentation of written work and record appropriately all supervisory meetings
- take responsibility for research, professional and personal development through attendance at various activities including Induction, Researcher Development Programme, conferences and other development opportunities as appropriate
- ensure that they are competent in any relevant research techniques
- raise problems or difficulties (academic, professional or personal) affecting their research with the supervisory team, Faculty Doctoral School, or Doctoral College (PGRAs)
- submit the thesis, in accordance with BU guidelines, within the expected timeframe and respond appropriately and in a timely manner to any recommendations of the examining team.

3.1.2. PGRs requiring additional learning support

PGRs who require disability and/or additional learning support should contact the ALS team via email als@bournemouth.ac.uk. The team can support PGRs who have sensory/physical disabilities, Specific Learning Differences (SpLDs), medical conditions, mental health difficulties and/or temporary injuries.

There is no legal requirement to disclose a disability but PGRs are individually responsible for ensuring that an ALS disclosure is made if required. PGRs with a disability but who do not disclose it are putting themselves at considerable disadvantage. If no disclosure is made, then adjustments relating to supervision, research activity, assessment or examination cannot be considered. It is important to note, ALS disclosure does not transfer from one degree to another, a new disclosure is required.

Further details are set out in Appendix 3.

3.1.3. PGRs studying on student visas

PGRs studying on student visa are responsible for ensuring they abide by the terms of their student visas. BU is responsible for reporting any breaches to the Home Office.

This CoP highlights circumstances where specific consideration should be taken on the implication of a decision/activity/outcome for PGRs studying on a student visa. These include examples such as:

- Sick leave
- Annual leave
- Parental leave
- Paid employment
- Changes to enrolment, including changes of programme of study, or withdrawal
- Interruption to study
- Extension to study

PGRs, and supervisors, can seek general advice from the Doctoral College PGRA in each faculty. Expert advice can be requested from the Immigration Compliance Team by emailing immigration@bournemouth.ac.uk

In addition, PGRs studying on a student visa are expected to remain in regular contact with their supervisory team, or PGRAs, normally at least once every month, as outlined in Section 3.1.4. The PGR is responsible for recording the engagement on ProGRess however, the supervisory team is responsible for ensuring this is actioned. Departments and Faculties have a responsibility to ensure compliance.

BU is legally obliged to inform UK Visas & Immigration (UKVI) should there be any lapse in attendance from a student studying on a student visa.

PGRs have a responsibility to ensure that there is a retrospective record of engagement dating back to their enrolment. Auditing of engagement on PGRs studying in the UK on student visas will be undertaken 3 times per year and details will be shared with Faculties.

3.1.4. PGR engagement

All PGRs must engage regularly with their supervisory team. Engagement may include meeting (can be virtual) or email correspondence with one or more of the supervisory team or completion of a key milestone.

An indicative schedule is outlined below for full-time PhD students (**Bold** - formal monitoring points):

- *Year 1:* Supervisory meetings and engagements in addition to the **Probationary Review** and the **Annual Review**
- *Year 2:* Supervisory meetings and engagements in addition to the **Major Review** and the **Annual Review**
- *Year 3:* Supervisory meetings and engagements in addition to the **Annual Review** and **Thesis Submission**
- *Year 4:* Supervisory meetings and engagements in addition to the *Viva Voce* **Examination** and required changes to thesis post examination, if applicable, and the **Annual Review** if required.

PGRs who fail to record engagement monthly going forward will be reminded that steps may be taken in line with Section 3.10.

3.2 EXPECTED HOURS OF STUDY

PGRs are expected to submit their theses and complete within the following timescales:

Programme	Mode of Study	Expected Submission (months)	Completion*	
			Minimum** (months)	Maximum (months)
MRes	*Full-time*	10	12	18
	Part-time	20	24	36
MPhil	*Full-time*	18	18	36
	Part-time	24	36	72
PhD	*Full-time*	36	24	48
	Part-time	72	48	84
DProf	*Full-time*	48	48	60
	Part-time	72	48	84
EngD	*Full-time*	48	48	60
EdD	*Part-time*	48	48	84

* Completed all corrections / amendments to the satisfaction of the examiners and have the awards ratified by the Doctoral College.

** For all part-time programmes of research, fees will normally be charged for the minimum completion timescale, irrespective of submission date.

To complete within the anticipated timescales, the expected engagement from PGRs is set out below:

	Expected hours of study per week	Attendance at BU	Annual Leave
Full-time	36*	Minimum of 3 days per week*	6 weeks per year
Part-time	12	Minimum of 6 weeks per year	

*Full-time PGRs should seek permission from their supervisory team to work regularly away from BU. The approval should be copied to the PGRAs.

3.3 ANNUAL LEAVE

PGRs are entitled to 6 weeks annual leave per year plus Public Holidays.

PGR research activity is not restricted to term / semester time only. It is natural when undertaking research that there are times when the workload will be heavier than at other times and this should be considered when planning annual leave.

PGRs must submit a request for any period of annual leave to their supervisory team and agreed dates should be reported to their PGRA.

PGRs studying on a student visa should be advised that any period of annual leave more than that outlined above may have implications on their student visa, and should email immigration@bournemouth.ac.uk immediately for advice.

3.4 PAYMENT OF FEES

PGRs enrolled on a research degree are required to pay tuition fees, unless they are in receipt of a BU Studentship or approved fee waiver.

BU will seek confirmation from self-funding PGRs during the admissions process that they are able to support themselves throughout their studies. BU will require appropriate documentary evidence from sponsored PGRs regarding their source of funding. A deposit may be required to secure the place with the balance payable on enrolment. Please note that regardless of who has agreed to pay the fees, ultimately the PGR is legally responsible.

Full details about the payment of fees are set out in the *BU Student Fees Policy*. Queries should be directed to fees@bournemouth.ac.uk in the first instance. However, the PGRAs will also be able to provide advice.

3.5 BU STUDENTSHIPS

PGRs who accept an offer of a BU PhD Studentship must also agree to adhere to the relevant *Terms and Conditions* which are sent with their offer letter. In addition, they will also be required to sign an *IP Assignment Agreement*, which can be found at Schedule 1 of the Terms and Conditions.

Prior to enrolment, PGRs **must** sign and return copies of the *Terms and Conditions* and the *IP Assignment Agreement* to the Admissions PGRAs in the Doctoral College when they accept a place at BU.

3.6 SICK LEAVE

PGRs (including members of BU Staff enrolled on a research degree) who are prevented from carrying out their research by illness should inform their PGRA by email as soon as possible.

If the absence is for more than seven days, the PGR should, provide a medical certificate. If the absence is for an extended period, the PGR may, in consultation with their supervisory team, interrupt their enrolment. A PGR, who is on sick leave, should not normally undertake research activities or be present on campus.

PGRs studying on a student visa should be advised that any period of sick leave may have implications on their student visa, and should email immigration@bournemouth.ac.uk immediately for advice.

3.7 PARENTAL LEAVE

3.7.1. Maternity Leave

PGRs (including members of BU Staff registered for a research degree) who become pregnant, and the expected week of childbirth is during the period of enrolment, will be entitled to interrupt their studies for up to twelve months. They will subsequently be required to notify their faculty one month before they intend to return to their studies.

PGRs in receipt of a BU Studentship should refer to their *Terms and Condition*s and those in receipt of external funding, should consult with their sponsor regarding the relevant process for applying for maternity leave.

PGRs studying on a student visa should be advised that any period of maternity leave may have implications for their student visa conditions, and should email immigration@bournemouth.ac.uk immediately for advice.

3.7.2. Paternity leave

PGRs whose partner falls pregnant, and the expected week of childbirth is during their period of enrolment, will be entitled to paternity leave of ten days, which can be taken at any time during the partner's pregnancy or within three months of childbirth. Paternity leave must be taken by arrangement with the supervisory team. Requests for an additional interruption of studies over a longer period will be considered under exceptional circumstances and will be subject to the approval of the faculty.

PGRs in receipt of a BU Studentship should refer to their *Terms and Conditions* and those in receipt of external funding, should consult with their sponsor regarding the relevant process for applying for paternity leave.

PGRs studying on a student visa should be advised that any period of maternity leave may have implications for their student visa conditions, and should email immigration@bournemouth.ac.uk immediately for advice.

3.8 TEACHING & DEMONSTRATING

Teaching and demonstrating is recognised as a valuable part of development as a PGR but teaching or demonstrating commitments should not be so onerous that they detract from the research. In line with Research Councils, the total time spent (including preparation and marking) should not exceed **six hours** in any week during semester time.

The provision of teaching or demonstrating is the responsibility of the faculties and is paid for at the normal BU rate. PGRs who wish to teach or demonstrate must first complete the entire BU Introduction to Education Practice for PGRs, which is run by Centre for Fusion Learning Innovation and Excellence (FLIE).

Full details are given in Appendix 1: *Guidelines: Employment of Postgraduate Researchers (PGRs) for Teaching or Demonstrating Duties*. The same approach would normally apply to any research assistant activity.

PGRs studying on a student visa should be advised that any paid employment, including teaching at BU, may have implications for their student visa conditions, and should email immigration@bournemouth.ac.uk immediately for advice.

3.9 LACK OF PROGRESSION

Concerns about a PGR's progression should be identified as early as possible so that action can be taken. Such concerns will normally include failure to:

- meet deadlines
- produce tangible outcomes of the research
- evidence work to an appropriate standard.

If the PGR or supervisory team have concerns about progression, they should:

- discuss concerns or any difficulties relating to the research or other areas which may be affecting performance
- ensure the faculty is kept informed and, if necessary, the faculty may become involved
- agree and document a plan for improvement of progress, incorporating appropriate targets and a schedule for review.

Progression meetings should be documented on ProGRess or via email. If progression review meetings identify continued lack of academic performance to an appropriate level, the faculty (normally DD(R) or nominee), will initiate the following steps:

- first formal letter to request evidence of appropriate progression to be made by the PGR to the satisfaction of the supervisory team (response required from the PGR within 10 working days)
- second formal letter to further request evidence of appropriate progression to be made by the PGR to the satisfaction of the supervisory team (response required from the PGR within 10 working days)
- third formal letter (Notice of Withdrawal) to inform that steps will be taken to withdraw the PGR after the 5th working day.

PGRs who receive any of the above letters and subsequently fail to evidence of sustained progression to the satisfaction of the supervisory team will re-trigger the withdrawal process from the appropriate point.

The PGR is entitled to appeal against this decision and should follow the procedure set out in *11C Academic Appeals Research Awards Policy and Procedures*.

3.10   LACK OF ENGAGEMENT

The principles governing lack of progression will also apply if the PGR fails to engage with their programme of study and/or maintain contact with their supervisory team.

Full-time PGRs are expected to engage with their supervisory team at least once every month and record the engagement on ProGRess. Responsibility for ensuring this is actioned lies with the supervisory team. Engagement may include meeting (can be virtual) with one or more of the supervisory team, completion of a key milestone, or completion of any mandatory training (see Section 6.5).

This is particularly important in relation to the monitoring attendance of PGRs in accordance with any student visa related requirements (see Section 3.1.3). Auditing of engagement on PGRs studying in the UK on student visas will be undertaken 3 times per year and details will be shared with Faculties.

Should there be any concern about engagement, the supervisory team and PGRAs will make every effort to:

- contact the PGR
- identify and discuss any reasons for lack of contact
- agree a plan to improve communication
- continue to monitor and review the plan.

The faculties are required to monitor PGR engagement, and should a PGR fail to engage as expected, in line with Section 3.1.4, the faculty (normally DD(R) or nominee) will initiate the following steps:

- informal attempts to make email / telephone contact by supervisory team / PGRA and resolve situation at an early stage (response required from the PGR within 10 working days)

- first formal letter to request contact be made by the PGR detailing reason for lack of contact (response required from the PGR within 10 working days)
- second formal letter to further request contact be made by the PGR (response required from the PGR within 10 working days)
- third formal letter (Notice of Withdrawal) to inform that steps will be taken to withdraw the PGR after the 5th working day.

Failure on the part of the PGR to respond to the third letter will trigger the withdrawal procedure. PGRs who receive any of the above letters and re-engage with BU would be expected to demonstrate sustained re-engagement. Failure to do so would re-trigger the withdrawal process from the appropriate point.

The PGR is entitled to appeal against this decision and should follow the procedure set out in the *11C Academic Appeals Research Awards: Policy and Procedure*.

3.11   CONCERNS REGARDING SUPERVISION

BU is committed to ensuring quality of supervision, however, PGRs who have concerns about any aspect of their supervision, should raise these as early as possible so appropriate action can be taken. Such concerns may include failure of the supervisory team to:

- meet with the PGR regularly
- provide appropriate and meaningful feedback and guidance during supervisory meetings
- provide appropriate, meaningful and timely written feedback on written outputs from the research.

Wherever possible the PGR should discuss any concerns with their supervisory team in the first instance.

If this does not bring about an improvement, the PGR should discuss concerns with their Departmental PGR Lead (or equivalent) who should aim to resolve the situation informally.

If there are exceptional circumstances which make it difficult to come to an informal resolution, the DD(R) may need to become involved in the discussion in order to ensure the most appropriate outcome for all parties.

It should be noted that there may be some circumstances where a supervisor is intrinsically linked to a specific project and cannot be removed from the supervisory team.

In the unlikely event that no satisfactory resolution has been forthcoming, the PGR is entitled to make a formal complaint and should follow the procedure set out in *11F Student Complaints: Policy and Procedures*. SUBU Advice is also able to provide information and guidance on the Student Complaints Procedure.

4   SUPERVISORS ROLES AND RESPONSIBILITIES

4.1   THE SUPERVISORY TEAM

BU is committed to providing support as outlined in this CoP. All PGRs will be allocated with a supervisory team throughout their research degree, provided BU continues to have the appropriate subject knowledge and capacity within the current academic staff base.

Prior to enrolment, all PGRs are appointed a supervisory team which:

- will comprise a minimum of two supervisors:
  - the first supervisor must be a BU member of staff
  - the second, or subsequent supervisor(s), may be either a BU member of staff or external
  - at least one supervisor must hold a doctorate, normally the BU member of staff
  - at least one supervisor must have previously successfully supervised at the appropriate level from enrolment through to completion or one entire research degree cycle (at any HEI)
- will have expertise in the relevant subject or discipline area of research and knowledge of those methodologies and skills required for the research
- may also include an external supervisor as a subject or methodology specialist, but not as the first supervisor. This is of particular relevance for Professional Doctorates where the additional input of Professional Practice experience is required
- may include a member of visiting academic staff, however, their eligibility to supervise should be discussed with their DD(R)
- will engage in supervisory development every 3 years.

In appointing supervisory teams, the faculty should be mindful of the diversity, equality, and inclusivity balance of individual teams, where possible, and across the department and faculty as whole.

Supervisors are not normally expected to supervise more than 6 full-time PGRs, or equivalent, as the first supervisor.

4.2   SUPERVISORY CONFLICTS OF INTEREST

All supervisors, both internal and external, have a duty to make an appropriate declaration where there are personal conflicts of interest with other members of the supervisory team, or with the PGR. To avoid any conflict of interest, members of a supervisory team must not:

- be related to, or be in a personal relationship with, other members of the supervisory team
- supervise relatives, partners or others with whom they have a close personal relationship

Exceptionally, and at the discretion of the Faculty DD(R), a member of BU staff, who themselves are registered for a research degree, may be part of a supervisory team where they bring expertise that is not available elsewhere. In such cases, the individual may not the first supervisor and there should be no other conflicts of interest.

4.3   SUPERVISORY ROLES & RESPONSIBILITIES

The responsibilities of the supervisory team are to:

- undertake regular supervisory development to enhance supervisory skills and knowledge and maintain sufficient knowledge of the research area and research skills
- be accountable for reporting on progression of their PGRs to the Faculty Research Degrees Committee (FRDC) and to raise any issues
- understand the regulatory framework underpinning postgraduate research at BU and to ensure their PGRs adhere to all PGR related policies, referring to those outlined in Section 1.3.1 and in the rest of this CoP

- guide the PGR in planning a research project, provide clear guidance on the key monitoring milestones and provide constructive and timely response to written work (normally within three weeks, unless otherwise agreed) and approve the record of supervisory meetings
- maintain regular contact with their PGR, whist the PGR should normally record the engagement, the responsibility for ensuring this is actioned lies with the supervisory team (see Section 3.1.4). Supervisors have a responsibility to ensure their PGRs have a complete record of engagement.
- provide pastoral support as appropriate, discuss with the PGR problems or difficulties affecting their research and signpost them to relevant support services if necessary
- support their PGR on identifying appropriate research, professional and personal development needs and mechanisms for developing these
- guide the PGR through the ethics review process, including the online review of the ethics checklist and supporting documents submitted via the OEC admin system in a **timely manner**. Should a PGR be invited to attend a Research Ethics Panel, a member of the supervisory team **must** accompany the PGR to the Panel meeting.
- Supervisors should also guide the PGR through any relevant external ethics review process.
- support the PGR to submit the thesis in time and in accordance with BU guidelines for the submission of theses, and to respond appropriately and in a timely manner to any recommendations of the examining team
- ensure the timely preparation and arrangement of the *viva voce* examination, including nomination of appropriate examiners
- prepare the PGR for the *viva voce* examination
- support the PGR in addressing the recommendations of the examining team in correcting, amending or resubmitting the thesis
- lead discussions with the PGRs with disabilities, to consider reasonable adjustments to the research training throughout the research degree journey so that appropriate support can be mutually agreed (see Appendix 3).

Although the supervisors will work as a team the first supervisor should normally:

- be the PGR's primary point of contact
- have both the relevant experience and qualification
- have primary responsibility for the PGR's progress, including monitoring attendance in accordance with any student visa related requirements (see Appendix 2)
- have primary responsibility for the PGR's progression, including the direction of the research programme and all administrative matters related to the enrolment
- be the key supervisor who attends formal supervisory meetings and who reads and comments on the final draft version of the PGR's thesis.

However, there are cases where there is a more equal distribution of responsibilities.

BU aims to provide flexibility as to the approach used in terms of supervision, particularly for part-time and overseas students and the following minimum standards should be met:

- PGRs are expected to engage regularly with their supervisory team. Engagement may include meeting (can be virtual) or email correspondence with one or more of the supervisory team or completion of a key milestone (see Section 3.1.4)
- PGRs are expected to meet with their entire supervisory team a minimum of 3 times a year
- PGRs and supervisors are jointly responsible for organising the meetings and PGRs are responsible for keeping a record of all formal meetings on ProGRess.

PGRs must be able to discuss criticisms openly and directly with their supervisory team. To enable PGRs to maintain reasonable progress throughout their research programme, the supervisory team will:

- agree clear objectives with the PGRs and the timeline for progression after each meeting

- return submitted written work with feedback (provided the work is legible and delivered on time) for discussion at the next meeting
- provide constructive comments on both technical details and writing style for written work, including the formal draft of the thesis
- ensure the PGR is made aware, in writing, of inadequate progress or low standards of work
- recommend to the FRDC when procedures for lack of progress of study should be initiated
- report in writing to the FRDC on the PGR's progress as required by the faculty within the Annual Review. It is essential the PGR is involved in this process and supervisory team will be expected to review and comment on all such progress reports.

4.4   DEPARTURE AND ABSENCE OF A SUPERVISOR

If a supervisor leaves the University, or is absent for a significant period (i.e., more than one term), it is the responsibility of the faculty to ensure alternative and appropriate supervisory team arrangements are put in place for the PGR.

Changes to supervision may also occur because of a change in the direction of the project or other reasons. Requests for changes to supervisors should be made to the faculty. It should be noted that there may be some circumstances where a supervisor is intrinsically linked to a specific project and cannot be removed from the supervisory team.

4.5   SUPERVISORY DEVELOPMENT

All supervisors are required to engage in continuing professional development by undertaking supervisory development activities every 3 years. Working closely with the Faculties, the Doctoral College provides a number of supervisory development opportunities which are reviewed regularly to ensure they meet the needs of supervisors and reflect the shifting challenges in the research degree environment.

It is mandatory that all those new to research degree supervision engage in the one-day **New Supervisor Development session** normally prior to joining a supervisory team to:

- provide them with the understanding of relevant internal and external regulatory frameworks
- understand the different supervisory styles
- develop knowledge of the internal policies and processes required to supervise PGRs at BU.

Similarly, it is mandatory for all established supervisors to refresh their knowledge and skills by attending an **Established Supervisor Development** event (either central or faculty hosted) every 3 years to:

- maintain their knowledge and skills in supervising doctoral PGRs at BU
- acquire information about any changes to policy (external or internal) or process in relation to research degrees
- ensure exchange of best supervisory practice between the faculties and disciplines
- help facilitate the development of a strong research network across the University.

It is a requirement for all academics who are new to BU to undertake the established supervisory training even if they are already established supervisors at other HEI's to familiarise themselves with the BU regulatory framework.

5 EXAMINING TEAM ROLES AND RESPONSIBILITIES

5.1 THE EXAMINING TEAM

5.1.1. Appointment of Examiners

Research degree examining teams are formally approved by the Examiner Approval Panel, which is chaired by Academic Quality and meets 11 times per year, via the procedure set out below. PGRAs will advise on the timing of the procedure which is outlined below:

Supervisors	**FRDC**	**Academic Quality**	**ASEC**
Supervisors nominate examiners Examining team must meet the criteria set out in Section 8.3.2	The Faculty reviews and endorses the examiner nominations via the FRDC or sub-committee This may be done exceptionally by Chair's Action (DD(R) or equivalent nominee) PGRA forwards documentation to Academic Quality	PGR examining teams are formally approved by the PGR Examiner Approval Panel chaired by Academic Quality Outcome of Examiner Approval Panel reported to the Faculty	Outcomes of the PGR Examiner Approval Panel are reported to ASEC for ratification

Examination arrangements will be valid for one year from the date of the Academic Standards and Education Committee (ASEC) at which they were ratified. Should the *viva voce* examination fail to take place within this time, the arrangements will need to go back to the PGR Examiner Approval Panel for re-approval.

5.1.2. Examining Team Criteria

When appointing an examining team, the faculty should consider how each member of the team complements the other(s) to provide a balanced and relevantly experienced team. The following criteria must be met:

- the examination team must comprise at least two examiners, one of whom must be external
- PGRs who were members of BU staff at any point during enrolment (excluding part-time hourly paid temporary contracts) must have two external examiners. An internal examiner may also be present
- both examiners should normally hold a doctorate and at least one must hold a doctorate
- the examination team, collectively, must have sufficient examination experience, i.e., normally a minimum of three prior examinations across the team
- the *external examiner* must have examined at least once at the appropriate level for the examination (in the unlikely instance where the external has no previous examination experience an additional external examiner should be appointed)
- the *internal examiner* may not necessarily have formally examined before, however, they should have assessment experience at Major Review or equivalent (this should be made clear in the supporting rationale)
- where there are two external examiners, both should normally have examined at least once at the appropriate level for the examination, and if not, there should be a detailed rationale as to their appointment
- both examiners should be experienced in the PGR's area of research and/or relevant methodology, and may, where appropriate, have relevant industrial or professional expertise
- the external examiner must be independent of the supervisory team and PGR (e.g., no joint publications or close association, including being a BU member of staff, within the previous two years) and, if relevant, any collaborating establishment. (However, ex-BU staff may still be appointed in a quasi-internal examining capacity with an additional external examiner)

- the PGR must not have been advised, supervised, or had any close association with the examiners (e.g., links with previous institutions), however, the proposed examiners may have been involved in the Major Review process
- the PGR must not have formal contact with any examiner(s) between their appointment and the *viva voce* examination
- no person who is registered for a research degree at BU may act as an examiner
- the same external examiner should not be proposed so frequently that their familiarity with the University might prejudice objective judgement (e.g., not normally more than three times in a five-year period, and not normally more than once in a 12-month period).

Where the examining team (or individual examiner) does not fully satisfy the above criteria, the supervisory team, and/or faculty, should provide a detailed rationale for their appointment when seeking approval. The FRDC should review the proposed examining team to ensure they meet the above criteria before requesting formal approval from Academic Quality. The PGRA will notify the PGR and supervisory team of the examination team when the nomination has been approved.

In appointing examining teams, the faculty should be mindful of the diversity, equality, and inclusivity balance of the individual teams, where possible, and across the department and faculty as whole.

The roles and responsibilities of the Examiners are set out in Section 5.3.3.

5.1.3. Roles and Responsibilities of the Examining Team

The examiners are jointly responsible for ensuring the thesis meets the criteria for the award of the qualification and that the thesis is the PGR's own work. As such they will:

- read the thesis
- prepare a Preliminary Report form
- examine the PGR by *viva voce*
- prepare a Joint Report on the outcome
- make a recommendation relating to the award.

All examiners have a duty to acquaint themselves with the BU examination policies, procedures and guidelines and adhere to the prescribed timelines. They have a responsibility to ensure the *viva voce* examination is conducted in accordance with these rules.

Clarification of any issues that arise can be sought from the independent chair. Should any circumstances arise where the examiners fail to adhere to policies and processes, the independent chair and the DD(R) will consult, with advice from the Doctoral College, to determine appropriate action.

The examiners should make every effort to ensure the PGR feels at ease during the examination and explore the strengths as well as the weaknesses of the PGR's work.

5.1.4. Departure or Absence of an Examiner

If an examiner is unable to undertake their duties in a timely manner, or decides to step down from the examining team, it is the responsibility of the faculty to ensure an alternative and appropriate examiner is nominated through the normal process (see Section 5.1.1).

5.2 THE INDEPENDENT CHAIR

5.2.1. Appointment of the Independent Chair

The appointment of the independent chair of the *viva voce* examination is overseen by the DD(R) or nominee.

To meet the "independent" status, the chair must not have had prior involvement with the PGR either in a supervisory or advisory capacity during their research but may be from within the same faculty. Similarly, to ensure independency, the chair would not normally be closely associated with the supervisory team or internal examiners. Members of BU staff must have an independent chair appointed from outside their own faculty.

The role of the independent chair is purely procedural and non-examining, and they should ensure that the *viva voce* examination is conducted in an appropriate manner, in accordance with the CoP, ensuring fairness and consistency throughout. The independent chair will also provide an additional viewpoint if the conduct of the *viva voce* examination should become the subject of a PGR's appeal.

The roles and responsibilities of the independent chair are set out in Section 5.2.2.

5.2.2. Role and Responsibilities of the Independent Chair

The role and responsibilities of the independent chair are primarily:

- to safeguard the PGR's interests, to ensure they are treated fairly
- to ensure regulations and procedures are adhered to and that a permanent record of the proceedings is produced
- to ensure that the examination is being conducted at the appropriate level for the award (e.g. MRes, MPhil, Doctoral)
- to have ultimate responsibility for the way in which the *viva voce* examination is conducted, and for the completion of the associated paperwork, until the award is made.

In addition, the independent chair should:

- have knowledge of and provide accurate information and guidance on regulations and procedures of the University governing a *viva voce* examination
- outline the nature of the *viva voce* examination, introduce those present, clarify arrangements and ensure the PGR understands the nature and purpose of the *viva voce* examination
- explain their role is neutral within the examination process and that their presence is to ensure the examination is conducted in accordance with the CoP and equal opportunities policy of BU
- ensure the PGR is provided with oral and written comments, and understands the outcome of their *viva voce* examination and what is required of them in terms of any corrections
- forward all documentation to the PGRAs promptly, which includes:
    - o   the chair's written report of the *viva voce*
    - o   the completed final Joint Examiners Report with signatures
    - o   a report of any relevant recommendations

The independent chair must not participate in the examining of the PGR.

6   RESEARCH GOVERNANCE

6.1   KEY RESEARCH GOVERNANCE RELATED POLICIES

PGRs are required to adhere to all BU's regulations, policies, procedures and guidelines, including those outlined in the following Chapter. Failure to do so may trigger the lack of engagement (Section 3.10), or other student disciplinary processes.

6.2   ETHICS

BU is committed to maintaining high ethical standards in its research. All PGRs and supervisors are required to familiarise themselves with 8B Research Ethics Code of Practice: Policy and Procedure (RCEP) and the Code of Good Research Practice.

BU requires that all research, as defined in the RECP, is subject to appropriate ethical reflection, leading if necessary to a formal ethics review via the online ethics checklist. Where appropriate, data collection activities should not commence until a favourable opinion has been issued from the appropriate Reviewer (Ethics Champion for low-risk projects or a central Research Ethics Panel for high-risk projects) and your ethics checklist approved online. A favourable opinion provides assurance that if the research is conducted in line with the documents reviewed, it will be deemed ethical. The Online Ethics Checklist is managed by Research Development & Support.

If planning research overseas you should determine whether a formal ethics review is required in the country you are visiting. Further information can be found on the Research Governance & Integrity website (see General Information 'other useful documents and external resources').

For PGRs seeking to conduct research with the National Health Service, it is important to ensure that you go through the appropriate ethics review process. Further information can be found on the Research Governance & Integrity website (Clinical Governance).

The RECP applies to all staff and students undertaking research at BU and includes details on researcher and Supervisor responsibilities regarding research ethics as well as guidance on informed consent. Additionally, the RECP details the research ethics review process, appeals process and non-compliance/misconduct measures. Failure to conduct research in accordance with the RECP may result in the loss of funding support, withdrawal or failure of degree awards, personal disciplinary or legal action taken against the PGR, supervisors or the University, and actions may be taken in accordance with 6M Research Misconduct Policy and Procedure. The RECP and further information about research ethics can be found on the Research Governance and Integrity website.

For information on data security, visit Data Protection Knowledge Base.

For research data management, please make sure you familiarise yourself with the Research Data Policy. PGRs are advised to complete a data management plan at the beginning which should be continually revised and updated as necessary. Practical guidance can be found here: Research Data Management: RDM LibGuide.

All PGRs are required to complete the following Ethics e-module(s):

- Becoming an Ethical Researcher
- Research Ethics in Practice.

For details on how to access the e-learning modules, please visit Brightspace.

6.3   RESEARCH INTEGRITY

PGRs are required to familiarise themselves with the Concordat to Support Research Integrity. The Concordat provides a framework in which to conduct research and adopting these standards allows others to have trust and confidence in the methods used and in the findings that result from this. PGR's responsibilities as a

researcher are as outlined on the [research governance & integrity website.](#) To meet the professional standards expected from our researchers, PGRs should apply the five core elements of research integrity - see '[maintaining the highest standards of research integrity](#)'.

6.4 DATA PROTECTION LEGISLATION

The Data Protection Legislation regulates the use of personal data and sets requirements for protecting it. IT seeks to balance the individuals' right to privacy with the need of the organisation to use information about individuals for legitimate purposes. The DP Legislation refers to the General Data Protection Regulation which makes further provision about when and why personal data can be processed and the rights of individuals in relation to their personal data. BU's guidance about how it uses information about its students, as well as individual student's responsibilities when handling personal data is set out on the Data Protection and Privacy webpages. This includes links to the BU student privacy notice and information about making a subject access request. Further details can be found here: [Data Protection - Bournemouth University Intranet](#)

6.5 INFORMATION SECURITY

All PGRs are required to undertake mandatory training to increase awareness and understanding of the security threats and data protection requirements. The training is delivered by a platform called [KnowBe4](#), and plays a vital role in BU's compliance with both information security and data protection policy.

All new PGRs are required to complete an information security induction module within the first two weeks of starting their research degree at BU on receipt of an email from the Information Security Team at BU via the email address [infosectraining@bournemouth.ac.uk.](#) All current PGRs are required to complete additional modules as and when they are released.

PGRs who are interrupted are exempt from training but will be required to complete the training on their return to studies. Failure to engage with, and complete, training modules will result in action in line with the lack of engagement process set out in the Section 3.10.

6.6 RESEARCH DATA POLICY

PGRs are required to comply with BU's [Research Data Policy](#). Bournemouth University recognises the importance of research data, its value to society and its contribution to the University's research excellence.

Making research data available to users is a core aim of [UK Research and Innovation (UKRI)](#) and an on-going focus of BU. The [UKRI common principles on data policy](#) provide an overarching framework for individual Research Council policies on data policy and includes a commitment to make publicly funded research data … "*openly available with as few restrictions as possible in a timely and responsible manner…*"

The BU [Research Data Policy](#) provides a framework through which all BU researchers can fulfil both the UKRI principles and any specific requirements of funders regarding access to research data, and comply with legal requirements and ethical principles which apply to management of their research data.

All BU research data must be managed to the highest practicable standards throughout the research data lifecycle. In line with Principle 2 of the UKRI Common Principles on Data Policy, a Data Management Plan (DMP) is fundamental to achieving this requirement. PGRs must ensure that a DMP is developed and completed during the scoping and planning of the research, and then kept under review throughout the life of the project. For further guidance and support, please see BU Library's [Research Data Management guide](#).

6.7 RESEARCH MISCONDUCT AND ACADEMIC OFFENCES

PGRs have a general obligation to preserve and protect the integrity of research at BU. Advice on concerns about research integrity and allegations of misconduct in research are dealt with under the [6M Research Misconduct Policy and Procedure](#). Research misconduct includes (but is not limited to):

  i.   **fabrication**: making up results or other outputs and presenting them as though they were real;
  ii.   **falsification**: manipulating research processes or changing or omitting data without proper cause;
  iii. **piracy**: the deliberate exploitation of ideas from others without proper acknowledgement;

iv. **plagiarism**: the copying or misappropriation of ideas (or their expression), text, software or data (or some combination thereof) without permission and due acknowledgement;

v. **misrepresentation**: the deliberate attempt to represent falsely or unfairly the ideas or work of others, whether or not for personal gain or enhancement;

vi. **academic fraud**: deliberate deception which includes the invention or fabrication of data and/or experimentation;

vii. **improprieties of authorship**: including improper inclusion or exclusion of individuals as authors; misrepresentation or duplication of substantially similar material that has previously been the focus of one's own published research findings without due referencing;

viii. **non-compliance of research governance**: failure to comply with appropriate internal and external requirements such as regulatory, financial, legal and/or ethical approval;

ix. **serious breach of research ethics** as defined in 8B – Research Ethics Code of Practice and where not dealt with through student/staff disciplinary or other University procedure;

x. **facilitating misconduct in research**: deliberate concealment of research misconduct by others or collusion in such research;

xi. **inciting others to commit research misconduct**: deliberate encouragement of others to conduct research in an untruthful or unfair manner;

xii. **improper dealing with allegations of research misconduct**: failing to address possible infringements such as attempts to cover up research misconduct and reprisals against whistleblowers.

PGRs on Professional Doctorates which contain taught credit-bearing units should also familiarise themselves with 6H Academic Offences: Policy and Procedure for Taught Awards.

6.8   PGR LIABILITY & INSURANCE

BU takes reasonable care to keep our PGRs safe and secure on our campus and the Student Agreement sets out the responsibility of both BU and its students, including PGRs. It should be understood that the provision of adequate medical or other personal insurance is the PGR's responsibility. In assisting PGRs with their research, BU cannot provide funding for general insurance. However, under the BU Travel Policy and Procedures, PGRs are covered by the UMAL travel insurance for any purpose connected with their research studies.

PGRs may be liable to BU if they cause damage or loss to BU's staff, property or buildings that is a foreseeable result of their breach of the student agreement or negligence.

6.9   HEALTH, SAFETY & WELLBEING

BU is committed to ensuring, as far as is reasonably practicable, the health, safety and wellbeing of its staff and students whilst at work and that persons not in our employment, including PGRs, are also not exposed to risks to their health, safety and wellbeing. PGRs should regularly discuss health, safety and wellbeing aspects related to their research with their supervisory team who should advise on any appropriate action. PGRs should also work with their supervisory team to ensure that a risk assessment is carried out where it is relevant to their activities and ensure that they comply with all control measures required under the assessment. PGRs should consider these and any faculty-specific requirements with their supervisory team.

Details of support for students can be found on the Health and Wellbeing webpages.

6.10   INTELLECTUAL PROPERTY

The Intellectual Property note for students states that: Like all Universities, BU has an Intellectual Property Policy which sets out who owns what. This confirms that PGRs will normally own the IP they create during their studies or research. However, there will be some circumstances where this is not the case such as if you are collaborating on a project with an external partner or the project is being funded by a third party. Other examples include if you are working in a University supported commercialisation programme or your ideas have been created in collaboration with a member of staff. In these cases, BU may require you to assign the IP you generate to BU. The University will normally collaborate with you and agree to share any benefits deriving from any exploitation of the IP with you.

BU does not automatically take ownership of intellectual property that PGRs create as part of their research. However, in some circumstances, BU will need PGRs to transfer intellectual property to BU or a third party. This will sometimes be necessary before PGRs can participate in a specific project, for example if a third party is funding research or other work.

Further information is provided in the [Intellectual Property Policy](#).

7   GETTING STARTED & ENROLMENT

7.1   REGISTRATION

PGRs must complete online registration (OLR) when invited to do so. PGRs will be sent a registration invitation to the email address they used throughout their application process. It is important for PGRs to complete registration prior to the start of their research degree to ensure they can access everything they need to begin their research.

Online registration involves: PGRs checking their contact and course information is correct; providing information on how they intend to pay for their tuition fees; providing information to support their arrival; and signing up to the BU Student Agreement. Online registration provides PGRs with access to their BU student email address and to Brightspace.

7.2   ENROLMENT

On completion of their registration, PGRs are then invited to enrol on their research degree. Enrolment provides access to all the support required for the research degree and is when individuals officially become a BU PGR.

PGRs must enrol at one of the three key intake dates (September, January and April). Exceptional alternative entry points may be considered subject to prior agreement. Fees for entry points other than September are calculated on a pro-rata basis.

At enrolment, PGRs must provide their original academic qualifications, English Language qualifications (if applicable), their passport and their visa documents (if applicable). PGRs who require a visa to study in the UK may be asked to complete their enrolment at an in-person event during the first few weeks of arrival at BU.

After the PGR enrols, they will receive the following:

- a BU student ID card – which enables them to use BU facilities e.g., libraries, Students' Union (SUBU), etc.
- a copy of the current *8A Code of Practice for Research Degrees*, and the *Student Agreement*
- access to a desk and computer (full-time doctoral students only); photocopying/printing facilities (as determined by the faculty and programme of study).

7.3   RE-ENROLMENT FOR RETURNING PGRs

PGRs are required to re-enrol at the beginning of each academic year (normally mid-August). This is an online process and details will be provided in advance of re-enrolment. PGRs should speak with their PGRAs if there are any queries.

No PGR will be able to re-enrol until they have completed their Annual Review (Section 10.5), and their progress has been confirmed by their supervisory team and subsequently approved by the FRDC. Should a PGR fail to complete the re-enrolment process fully, measures will be taken to disable their account and suspend supervision until all the necessary processes have been completed. Failure to re-enrol by 31 October annually will trigger the lack of engagement process.

PGRs are required to be enrolled until the point at which their award is confirmed by the University by issue of the award letter. Failure to be enrolled may prevent the PGR from receiving their award.

PGRs on non-standard research degree programmes, e.g., the EdD, should refer to their programme handbook for further details as timing of re-enrolment may vary.

7.4   INDUCTION

All new PGRs will be invited to and are required to attend the BU Introductory Day hosted by the Doctoral College, which will:

- introduce PGRs to the academic and research community and culture at BU
- equip PGRs with vital information to support them in starting their research degree programme
- provide an opportunity to meet with other new PGRs.

Information about the Introductory Day and faculty inductions is available on the Doctoral College Brightspace community. Details will be sent to new PGRs prior to their arrival.

PGRs are also expected to attend their faculty induction programmes which will introduce more discipline specific information.

International PGRs may also wish to attend the International Students' Orientation Programme.

7.5   INITIAL SUPERVISORY MEETING

An initial meeting between the PGR and the supervisory team should take place within the first few days after enrolment to discuss the programme of research ahead. A formal record of this meeting should be kept on ProGRess and discussions should normally include:

- the aim and initial objectives of the proposed research
- identification of any research and other training needs
- arrangements for monitoring of research progress, including submitting and receiving feedback on work (and reporting to sponsors if appropriate)
- schedule of meetings and an agreed timetable for progression.

BU will aim to provide flexibility as to the approach used in terms of supervision, particularly for part-time and overseas students. However, minimum standards should be met as set out in Chapter 4.

7.6   PROGRESS

All PGRs, supervisors and PGRAs are required to use the online PGR management system ProGRess, to record and monitor their progression. ProGRess is available on and off campus and can be accessed through https://ProGRess.bournemouth.ac.uk. This system:

- enhances the PGR student experience by providing a clear and straightforward approach to the administration and progression of their research degree
- records key milestones and monitors progression of individual PGRs to ensure timely and successful completion
- ensures compliance with BU regulations, policies and procedures for quality assurance purposes
- ensures parity in PGR processes across the faculties.

User manuals are available to provide guidance on the system and any questions relating to ProGRess should be directed to the PGRAs in the first instance or emailed to ProGRess@bournemouth.ac.uk.

7.7   CHANGES TO ENROLMENT

PGRs who wish to make changes to their enrolment should discuss this with their supervisory team in the first instance. Most change requests can be made via ProGRess. PGRAs will be able to advise the relevant process which will require approval or notification at faculty level.

The most common amendments affecting enrolment are detailed below:

- change in the mode of study
- change of supervisory team

- transfer to a different research degree programme
- transfer from one institution to another
- change to the thesis title
- change to the source of funding.

7.8 EXCEPTIONAL CIRCUMSTANCES

PGRs may face practical, professional or personal difficulties during their enrolment which affect their progress. The principles relating to the interruption or extension process are set out in the 6J Exceptional Circumstances inc. Extensions Policy and Procedure. BU defines exceptional circumstances as:

- short-term, sudden and/or unforeseen events or circumstances which can be proved to have significantly and adversely impacted a PGR's ability to study
- situations beyond the control of the PGR
- matters which are not already registered with BU's Additional Learning Support (ALS) service.

Generally, these circumstances are of a personal nature, related to family/domestic concerns or medical or financial issues. A list of what would normally be considered an exceptional circumstance and what would not be considered is included in 6J Exceptional Circumstances inc. Extensions Policy and Procedure.

Should exceptional circumstances arise, the PGR is required to inform their supervisory team or PGRA as soon as possible to ensure that delays or disruptions to progress will be sympathetically received. All information will be treated in confidence and only disclosed to those who need to know.

All requests for interruptions or extensions should be submitted on ProGRess and accompanied, where appropriate, by independently verified medical or other appropriate supporting evidence.

7.9 INTERRUPTIONS

A PGR who is prevented from making progress with their research degree may interrupt their studies/enrolment for between 1 month and 12 months (full or part-time). The maximum enrolment period (4 year full-time and 7 years part-time) will automatically be extended by any period of interruption and future key academic milestone deadlines recalculated.

Applications for interruptions must be made on ProGRess with the support of the supervisory team. Interruptions must be applied for in advance and will not be granted retrospectively. Interruptions exceeding a cumulative total of 12 months during the period of enrolment applications must be approved by the Doctoral College.

During the period of interruption, the PGR:

- will not be liable for fees
- will not have access to supervision or other BU support
- will not be expected to make any progression, and dates of key milestones will be recalculated.

Interrupted fees will be subject to liability points in line with the BU Fees Policy and should be checked with Finance. Any refunds for the period of interruption will be in line with the BU Student Fees Policy.

No non-EEA student should be advised to interrupt their studies and remain in the UK without seeking advice from their PGRA as there may be implications for their student visa conditions, and if PGRs have questions regarding their visa, they should email immigration@bournemouth.ac.uk. The details need to be reported by the PGRA to migrantreporting@bournemouth.ac.uk.

PGRs are required to return to their studies on the date specified in ProGRess. They are required to contact their supervisory team and PGRA 5 working days before their expected return date for all administrative processes to be undertaken. **Failure to return on the specified date will trigger the lack of engagement process**. If an additional period of interruption is required, a new application must be submitted and approved.

PGRs in receipt of a BU PhD Studentship should refer to their Studentship Terms & Conditions as these will normally cease during the period of interruption. Externally funded PGRs should check with their individual sponsor.

7.10   EXTENSIONS

A PGR who fails to complete their research degree within the maximum enrolment period may, in extenuating circumstances, apply for extension to their enrolment. Extensions cannot be granted retrospectively.

Applications for extensions must be made in advance, with the agreement of the supervisory team before the maximum enrolment period expires (fees may still apply). All applications for extensions should be made on ProGRess and should be approved by the Doctoral College. Each case will be considered individually and should be accompanied by supporting medical or other evidence.

PGRs studying on a student visa should be advised that any extension to their period of enrolment may have implications for their student visa conditions, and they should email immigration@bournemouth.ac.uk immediately for advice.

7.11   WITHDRAWAL

A PGR who decides to withdraw from their research degree must provide written confirmation, including the reason for withdrawal and date of withdrawal, to the PGRA as soon as possible. The matter will be reported to the faculty and in the case of a BU PhD Studentship or Scholarship, to the Doctoral College.

If withdrawn, a PGR cannot normally return to their research degree programme at a later date.

8 MASTER'S BY RESEARCH PROGRESSION

8.1 MRES SUMMARY

The standard of the Master's by Research (MRes) is that expected of a graduate who has satisfactorily completed a programme of study which includes the development of generic research knowledge and skills applied to independent research on an approved topic and who has presented and defended a thesis, by oral examination, to the satisfaction of the examiners.

The MRes is shorter in terms of both duration and outputs than an MPhil programme and consequently, its thesis (or equivalent) will be narrower in scope than that of an MPhil, although it may still contain some original research.

An MRes would normally be completed within 18 months full-time study (24 months part-time), and it is anticipated that an MRes thesis would normally be *c.* 15-30,000 words (depending on the discipline and nature of thesis format).

8.2 MRES LEARNING OUTCOMES

The MRes learning outcomes reflect the descriptors for a higher education qualification at Level 7: Master's Degree as set out in the [Framework for Higher Education Qualifications.](#) MRes degrees are awarded to students who have demonstrated:

- a systematic understanding of knowledge in a chosen discipline, field of study or area of professional practice
- recognition of the significance of any gaps, contradictions or weaknesses in the knowledge, and the potential for their own contribution
- an understanding of the range of research methodology approaches or techniques relevant to their research questions or area of professional practice
- conceptual understanding that enables them to:
  - o critically analyse knowledge in the literature to identify gaps, contradictions or weaknesses
  - o develop and design an appropriate research project
  - o critically analyse their own work and defend the conclusions of the research.

Typically, holders of the qualification will be able to:

- systematically acquire, and discriminate between, a range of material representing a substantial body of knowledge in a chosen subject
- demonstrate a generic understanding of the range of research methodologies/techniques and identify and apply those relevant to their research theme or area of professional practice
- communicate the process and conclusions of the research in a range of effective and appropriate formats with rigor and precision.

And holders will have:

- the qualities and transferable skills necessary for employment requiring:
  - o the exercise of initiative and personal responsibility
  - o problem solving skills in complex and unpredictable situations
  - o communication of concepts, ideas and conclusions clearly and effectively to specialist and non-specialist audiences.

8.3   MRES DEGREE TIMELINE

The key stages and expected timeline for an MRes degree are outlined below:

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                    ┌─────────────────────────────┐
                    │   Enrolment & Induction      │
                    │  (Day 1) Section 7.2         │
                    └──────────────┬──────────────┘
                                   │
                    ┌──────────────▼──────────────┐
                    │   Probationary Review        │
                    │ (+ 3 months FT/ 6 months PT) │
                    │        Section 10.4          │
                    └──────────────┬──────────────┘
                                   │
  ┌──────────────────────────┐    │    ┌─────────────────────────────┐
  │ Intention to submit thesis│◄──┼───►│ Annual Review / Re-Enrolment │
  │ (~2 months before Submission)│   │   │   (May/June annually)        │
  │       Section 12.1.1      │    │    │        Section 10.5          │
  └──────────────┬───────────┘    │    └─────────────────────────────┘
                                   │
                    ┌──────────────▼──────────────┐
                    │    Thesis submission         │
                    │ (~10 months FT/ ~20 months PT)│
                    │        Section 12.1.3        │
  ┌──────────────┐  └──────────────┬──────────────┘
  │ Re-submission │                 │
  │ Section 12.4.3│                 │
  └──────────────┘  ┌──────────────▼──────────────┐
                    │   Viva Voce Examination      │
                    │ (asap after thesis submission)│
                    │        Section 12.3          │
                    └──────────────┬──────────────┘
                                   │    ┌─────────────────────────────┐
                                   │    │  Corrections / Amendments    │
                                   │    │       Section 12.4.2         │
                    ┌──────────────▼──────────────┐ └──────────────────┘
                    │    Ratification of Award     │
                    │        Section 12.8          │
                    └──────────────┬──────────────┘
                                   │
                    ┌──────────────▼──────────────┐
                    │ Final thesis submitted to Library│
                    │        Section 12.7          │
                    └──────────────┬──────────────┘
                                   │
                    ┌──────────────▼──────────────┐
                    │   Conferment & Graduation    │
                    │ (+ 12 months FT/24 months PT)│
                    │      Section 12.8 & 12.9     │
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8.4   MRES PROGRESSION

The progression for an MRes is closely aligned to those of a higher-level research degree and will include:

- the **Probationary Review -** PGRs are required to submit their Probationary Review document on ProGRess by 3 months (full-time study) or 6 months (part-time study) – see Section 10.4
- the **Annual Review** – PGRs are required to submit their Annual Review by 1 June annually – see Section 10.5.

8.5   MRES TO PHD TRANSFER

An MRes PGR may, exceptionally and with agreement of their supervisory team (subject to conforming to current UK student visa regulations or consideration of implications regarding a Postgraduate Loan), request not to submit an MRes thesis for examination at 10 months full-time study (20 months part-time study) but to work towards transfer to a PhD. In such instances, the PGR should prepare for the Major Review. PGRs should be aware they may be required to pay a different level of fee.

Such requests may only be submitted to the FRDC for approval where doctoral level work is identified which a PGR is able to evidence through:

- good progress of the research project providing evidence of further work to doctoral level, including the potential for an original contribution to knowledge within the PGR's chosen field of study (see Appendix 5 *Doctoral Degree Level Descriptors*)
- good personal qualities, skills, strengths and abilities which are in line with those attributes expected of PGRs undertaking doctoral research including clear, documented evidence of drive, commitment and relevant skills in their chosen research project to ensure successful and timely completion
- engagement in 10 workshops (full-time PGRs) or 5 workshops (part-time PGRs) and either one academic activity or one public engagement activity per year of enrolment.

Supervisors and examiners should also refer to these learning outcomes in supporting or assessing the research is at the appropriate level.

8.6   SUBMISSION & EXAMINATION OF AN MRES THESIS

The process for MRes submission and examination mirrors that for doctoral awards. In line with BU's guidance, PGRs enrolled on the award of Master's by Research, may submit one of the following for examination:

- a traditional chapter-based thesis
- an integrated thesis (see Section 10.9)
- a practical element and supporting exegesis (appropriate for practice-led research) (see Section 10.10).

PGRs who are enrolled on an MRes degree will be required to give a presentation as part of the *viva voce* examination. The presentation provides PGRs with the opportunities for a formal presentation on a research project and this is especially important for those students who may not have the opportunity for international conference presentation.

PGRs who are registered on an MRes programme should be ready to declare their intention to submit approximately 2 months prior to submission by completing the *Intention to Submit* within ProGRess. They should submit their thesis after 10 months full-time study (20 months part-time study) with a view to completing normally within 18 months full-time (24 months part-time study).

All aspects of the submission should follow those set out in Section 12.1. Presentation of the thesis should follow the guidelines set out in Chapter 13.

Assessment of MRes PGRs mirrors that set out in Section 12.3 and consists of two stages: presentation of the thesis and the *viva voce* examination. All must be completed to the satisfaction of the two examiners, one of whom must be external, and who will be appointed following procedures set out in Section 5.1.1.

The MRes *viva voce* examination will consist of a presentation (of about 15 minute's duration) and a closed room *viva voce* examination (of approximately one hour's duration) by the examiners.

9 MASTER OF PHILOSOPHY PROGRESSION

9.1 MPHIL SUMMARY

The standard of the Master of Philosophy (MPhil) is that expected of a graduate who has satisfactorily completed a programme of study which includes the critical investigation and evaluation of an approved topic and who has demonstrated an understanding of research methods appropriate to the chosen field and has presented and defended a thesis, by oral examination, to the satisfaction of the examiners.

It is a degree of considerable distinction in its own right and should result in a recognisable original contribution to knowledge or understanding. A PGR would normally complete an MPhil within 24 months full-time (36 months part-time) and it is anticipated that an MPhil thesis would normally be *c.* 20-40,000 words (depending on the discipline and nature of thesis format).

PGRs enrolled on an MPhil should refer throughout to the CoP, however, the following section draws together the relevant information.

9.2 MPHIL LEARNING OUTCOMES

The MPhil learning outcomes reflect the descriptors for a higher education qualification at Level 7: Master's Degree as set out in the Framework for Higher Education Qualifications. MPhil degrees are awarded to students who have demonstrated:

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

Typically, holders of the qualification will be able to:

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

And holders will have:

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

Supervisors and examiners should also refer to these learning outcomes in supporting or assessing the research at the appropriate level.

9.3   MPHIL DEGREE TIMELINE

The key stages and expected timeline for an MPhil research degree are outlined below:

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              ┌─────────────────────────────┐
              │    Enrolment & Induction    │
              │   (Day 1) Section 7.2       │
              └─────────────────────────────┘
                           │
                           ▼
              ┌─────────────────────────────┐
              │     Probationary Review     │- - - - - - ┐
              │  (+ 3 months FT/ 6 months PT)│           │
              │        Section 10.4         │           │
              └─────────────────────────────┘           │
                           │                             │
                           ▼                             │
              ┌─────────────────────────────┐   ┌──────────────────────────┐
              │   Intention to submit thesis│- -│ Annual Review / Re-Enrolment│
              │ (~2 months before Submission)│   │   (May/June annually)    │
              │        Section 12.1.1       │   │      Section 10.5        │
              └─────────────────────────────┘   └──────────────────────────┘
                           │
                           ▼
              ┌─────────────────────────────┐
   ┌ - - - - -│      Thesis submission      │- - - - - - ┘
   │          │ (~18 months FT/ ~24 months PT)│
┌──────────┐  │        Section 12.1.3       │
│Re-submission│ └─────────────────────────────┘
│Section 12.4.3│          │
└──────────┘              ▼
   │          ┌─────────────────────────────┐
   └ - - - - -│    Viva Voce Examination    │- - - - - - ┐
              │ (asap after thesis submission)│           │
              │        Section 12.3         │           │
              └─────────────────────────────┘   ┌──────────────────────────┐
                           │                     │ Corrections / Amendments │
                           ▼                     │      Section 12.4.2      │
              ┌─────────────────────────────┐   └──────────────────────────┘
              │      Ratification of Award  │- - - - - - ┘
              │        Section 12.8         │
              └─────────────────────────────┘
                           │
                           ▼
              ┌─────────────────────────────┐
              │ Final thesis submitted to Library│
              │        Section 12.7         │
              └─────────────────────────────┘
                           │
                           ▼
              ┌─────────────────────────────┐
              │   Conferment & Graduation   │
              │  (+ 18 months FT/36 months PT)│
              │      Section 12.8 & 12.9    │
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9.4   MPHIL PROGRESSION

The progression for an MPhil is closely aligned to those of a higher-level research degree and will include:

- the **Probationary Review -** PGRs are required to submit their Probationary Review document on ProGRess by 3 months (full-time study) or 6 months (part-time study) – see Section 10.4
- the **Annual Review** – PGRs are required to submit their Annual Review by 1 June annually – see Section 10.5.

9.5   MPHIL TO PHD TRANSFER

An MPhil PGR may, exceptionally with agreement of their supervisory team (subject to conforming to current UK student visa regulations or consideration of implications regarding a Postgraduate Loan), request not to submit an MPhil thesis for examination at 18 months full-time study (36 months part-time study) but to work towards transfer to a PhD. In such instances, the PGR should prepare for the Major Review. PGRs should be aware they may be required to pay a different level of fee.

Such requests may only be submitted to the FRDC for approval where doctoral level work is identified which a PGR is able to evidence through:

- good progress of the research project providing evidence of further work to doctoral level, including the potential original contribution to knowledge within the PGR's chosen field of study (see Appendix 8 *Doctoral Degree Level Descriptors*)
- good personal qualities, skills, strengths and abilities which are in line with those attributes expected of PGRs undertaking doctoral research including clear, documented evidence of drive, commitment and relevant skills in their chosen research project to ensure successful and timely completion
- engagement in 10 workshops (full-time PGRs) or 5 workshops (part-time PGRs) and either one academic activity or one public engagement activity per year of enrolment.

Supervisors and examiners should also refer to these learning outcomes in supporting or assessing the research is at the appropriate level.

9.6   SUBMISSION & EXAMINATION OF AN MPHIL THESIS

The process for MPhil submission and examination mirrors that for doctoral awards. In line with BU's guidance, PGRs enrolled on the award of Master of Philosophy, may submit one of the following for examination:

- a traditional chapter-based thesis
- an integrated thesis (see Section 10.9)
- a practical element and supporting exegesis (appropriate for practice-led research) (see Section 10.10).

PGRs who are registered on an MPhil programme should be ready to declare their intention to submit approximately 2 months prior to submission by completing the *Intention to Submit* within ProGRess. They should submit their thesis after 18 months full-time study (24 months part-time study) with a view to completing within a maximum enrolment of 24 months full-time (36 months part-time study).

All aspects of the submission should follow those set out in Section 12.1. Presentation of the thesis should follow the guidelines set out in Chapter 13.

Assessment of MPhil PGRs mirrors that set out in Section 12.3 and assessment will consist of two stages: presentation of the thesis and the *viva voce* examination. All must be completed to the satisfaction of the two examiners, one of whom must be external (two externals if the PGR is a BU member of staff), and who will be appointed following procedures set out in Section 5.1.1.

9.7   MPHIL CONTINUATION STATUS

PGRs enrolled on an MPhil will be automatically transferred to Continuation Status after 18 months full-time enrolment or 36 months of part-time study. Any period of interrupted study taken within the normal period of enrolment will be taken into account and the commencement of Continuation Status will be delayed accordingly. Continuation Status fees will be £600 for the 12-month period followed by a return to full fees, if the thesis has not been submitted.

Other aspects of Continuation Status align to those in place for PGRs enrolled on a PhD as set out in Section 10.7.

10   PHD PROGRESSION

10.1 PHD SUMMARY

The standard of the Doctor of Philosophy (PhD) is that expected of a graduate who has satisfactorily completed a programme of study which includes the critical investigation or evaluation of an approved topic(s) and who has demonstrated an understanding of research methods appropriate to the chosen field resulting in an independent and original contribution to knowledge and has presented and defended a thesis and / or practical element, by oral examination, to the satisfaction of the examiners.

A PGR would normally complete a PhD within 48 months full-time (72 months part-time) and it is anticipated that the thesis would normally be *c.* 40-80,000 words (depending on the discipline and nature of thesis format).

In line with BU's regulations, for the award of Doctor of Philosophy, PGRs may submit for examination one of the following:

- a traditional chapter-based thesis
- an integrated thesis (see Section 10.9)
- a practical element and supporting exegesis (appropriate for practice-led research) (see Section 10.10).

The PhD is the highest academic award, and a PhD thesis must contain a substantial original contribution to knowledge or understanding of the field of study or professional practice.

10.2 PHD LEARNING OUTCOMES

The PhD learning outcomes reflect the descriptors for a higher education qualification at Level 8: Doctoral Degree as set out in the [Framework for Higher Education Qualifications.](#)

Doctoral degrees are awarded to students who have demonstrated:

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

Typically, holders of the qualification will be able to:

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

And holders will have:

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

10.3 PHD TIMELINE

The key stages and expected timeline for a traditional PhD research degree are outlined below:

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┌─────────────────────────────────┐
│      Enrolment & Induction      │
│      (Day 1) Section 7.2        │
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┌─────────────────────────────────┐
│       Probationary Review       │
│   (+ 3 months FT/ 6 months PT)  │
│          Section 10.4           │
└─────────────────────────────────┘
                 │
                 ▼
┌─────────────────────────────────┐          ┌──────────────────────────────┐
│          Major Review           │          │  Annual Review / Re-Enrolment │
│   (+14 months FT/28 months PT)  │          │     (May/June annually)       │
│          Section 10.6           │          │         Section 7.5           │
└─────────────────────────────────┘          └──────────────────────────────┘
                 │
                 ▼
┌─────────────────────────────────┐
│      Intention to Submit Thesis │
│   (~3 months before Submission) │
│          Section 12.1.1         │
└─────────────────────────────────┘
                 │
                 ▼
┌─────────────────────────────────┐
│        Thesis Submission        │
│  ( +36 months FT / 72 months PT)│
│          Section 12.1.3         │
└─────────────────────────────────┘
                 │
                 ▼
┌──────────────────────┐         ┌─────────────────────────────────┐
│     Re-submission    │         │      Viva Voce Examination      │
│     Section 12.4.3   │         │   (asap after Thesis Submission) │
└──────────────────────┘         │          Section 12.3           │
                                 └─────────────────────────────────┘
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                                              ▼
                                 ┌─────────────────────────────────┐     ┌──────────────────────────┐
                                 │        Ratification of Award    │     │  Corrections / Amendments │
                                 │          Section 12.8           │     │      Section 12.4.2       │
                                 └─────────────────────────────────┘     └──────────────────────────┘
                                              │
                                              ▼
                                 ┌─────────────────────────────────┐
                                 │  Final thesis submitted to Library │
                                 │          Section 12.7           │
                                 └─────────────────────────────────┘
                                              │
                                              ▼
                                 ┌─────────────────────────────────┐
                                 │     Conferment & Graduation     │
                                 │   (+ 48 months FT/84 months PT) │
                                 │        Section 12.8 & 12.9      │
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10.4 PROBATIONARY REVIEW

10.4.1. Background

The Probationary Review is an important early milestone to be informed by the PGR's initial research activities. Its primary purpose is to ascertain that the PGR and their research project show that they have the potential to successfully work towards the learning outcomes which will ultimately be required to meet the appropriate level (MRes, MPhil, Doctoral level).

Continuation is dependent on successful completion of the Probationary Review, and in exceptional circumstances, failure may result in withdrawal due to lack of progress.

Those on Professional Doctorates, or other non-standard research degrees should refer to their programme handbooks or seek advice from their supervisory team regarding any specific requirements.
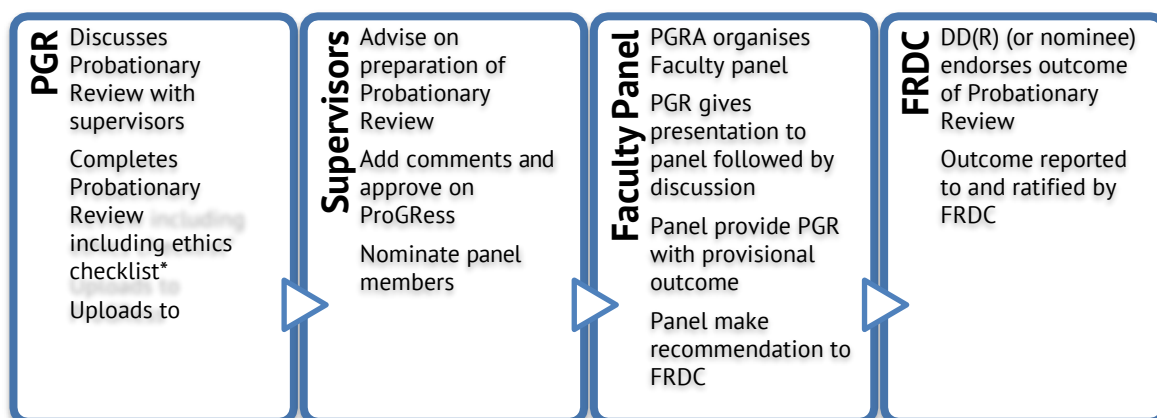
10.4.2. Probationary Review Process

PGRs are required to submit their Probationary Review document on ProGRess by 3 months (full-time study) after enrolment or 6 months (part-time study). PGRs who are unlikely to meet the deadline must formally request an extension, in writing, to the DD(R) (or Departmental PGR Lead, as appropriate) via the PGRA prior to this deadline.

The key aspects and timings of the Probationary Review are as follows:

Aspect	Details
Submission date	Up to 3 months (FT) post-enrolment Up to 6 months (PT) post-enrolment
Assessment	Discussion with faculty panel
Word limit	2000 words

The process is as follows:

PGR
Discusses Probationary Review with supervisors

Completes Probationary Review including ethics checklist*

Uploads to

Supervisors
Advise on preparation of Probationary Review

Add comments and approve on ProGRess

Nominate panel members

Faculty Panel
PGRA organises Faculty panel

PGR gives presentation to panel followed by discussion

Panel provide PGR with provisional outcome

Panel make recommendation to FRDC

FRDC
DD(R) (or nominee) endorses outcome of Probationary Review

Outcome reported to and ratified by FRDC

*Even if the Ethics Checklist is not required at this point, the ethics e-module must be completed at this stage and the date included on the report.

The PGR uploads the completed Probationary Review to ProGRess following discussions with and feedback from the supervisory team, who add a brief statement of support about the PGR's progress. The PGRA will organise a faculty panel, normally comprising the Departmental PGR Lead or nominee (as the chair) and an independent academic drawn from the faculty. Members of the faculty panel should have research degree supervisory experience. Conflicts of interest between members of the faculty panel should be avoided as outlined for supervisory teams in Section 4.2.

Members of the supervisory team should, with the consent of the PGR, attend the Probationary Review panel. However, they:

- may only offer comments when invited to do so by the panel members
- may be invited by the panel members to clarify a particular point for the PGR
- must withdraw from the panel meeting prior to the deliberations of the panel members on the outcome.

Members of the faculty panel should assess the PGR's potential for successful and timely completion of their research project via the PGR's written submission, verbal presentation and subsequent discussion. The faculty panel should take into account the views of the supervisory team as part of their assessment of the PGR's progress.

Under normal circumstances the faculty panel discussion will not be recorded.

The role of the faculty panel is primarily to assess the following:
- that the PGR has successfully completed their induction activities, including ethics and training needs
- that the supervisory team meets the needs of the research project, and the supervisory relationships are working well
- that the PGR demonstrates a good understanding of the research project and the research design
- that the PGR has considered an achievable timeline to thesis submission.

Following discussion with the PGR, the faculty panel would normally inform the PGR of the outcome by recommending one of the following:

- Progression
- Probationary period extended, normally by 1 month with or without reassessment by a faculty panel
- Transfer to MRes
- Withdrawal.

Where the panel members are not in agreement about the outcome of the Probationary Review, the panel members should provide separate reports and recommendations to the faculty. In such cases, where the panel members' recommendations are not unanimous, the faculty may require the appointment of an additional independent panel member, who is appointed by the DD(R) or equivalent.

The additional panel member will assess the Probationary Review document and prepare an independent report. This additional panel member should not be informed of the recommendations of the other panel members. On receipt of the report from the additional examiner, the faculty will complete the Probationary Review process.

Where the probationary period is extended, the PGR will be required to amend the written submission in line with the faculty panel's recommendations and resubmit normally within 1 month. In the exceptional circumstance that the faculty panel considers that the PGR has still not met the required standard, the PGR will either be transferred to an MRes (subject to conforming to current UK student visa regulations) or be withdrawn, due to lack of progress. If the PGR is registered on an MRes programme, they will be withdrawn at this point.

Where the faculty panel has feedback for the PGR (normally where the Probationary period is extended), they should provide this to the PGRA within 5 working days of the faculty panel meeting who will share this with the PGR within a further 5 working days.

The outcome of the Probationary Review will pass to FRDC for consideration, and if appropriate ratification, and reported to the PGR, and, via minutes, to the university's RDC.
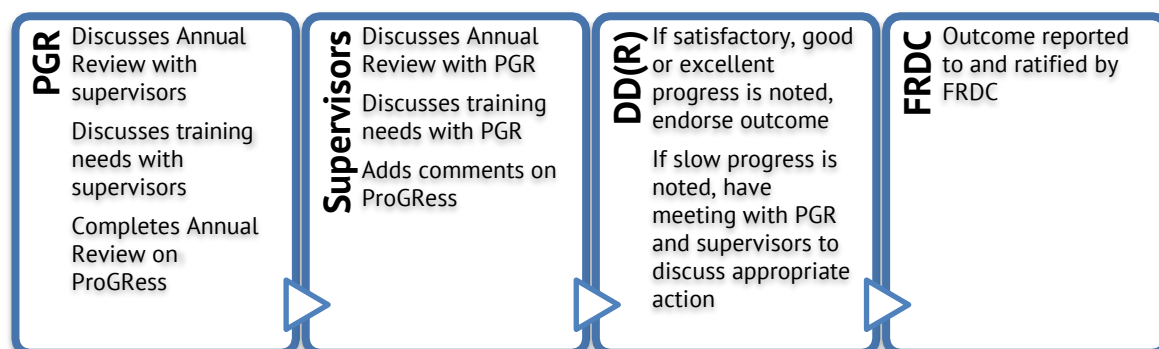
10.5 ANNUAL REVIEW
All PGRs are required to complete their Annual Review on ProGRess no later than 1 June each year.

This includes all full-time and part-time PGRs on every research degree programme, including members of staff, regardless of whether they have recently passed a progression milestone or submitted their thesis. This is vital to assure appropriate engagement and progress by the PGR prior to re-enrolment. This light touch, but mandatory review will:

- provide an opportunity to record key academic achievements to date
- confirm satisfactory and timely progress against academic milestones, including progress against changes required following the *viva voce* examination
- confirm regular engagement with the supervisory team
- review ethics, health and safety risk assessments and research and personal development needs
- provide an opportunity to discuss any difficulties that have arisen.

The process must be completed prior to the start of the new academic year when PGRs will either be charged fees or continue to receive a monthly stipend, depending on their status. PGRs who are unlikely to meet the deadline must formally request an extension in writing to the PGRA prior to this deadline.

The Annual Review process is as follows:

PGR Discusses Annual Review with supervisors Discusses training needs with supervisors Completes Annual Review on ProGRess	**Supervisors** Discusses Annual Review with PGR Discusses training needs with PGR Adds comments on ProGRess	**DD(R)** If satisfactory, good or excellent progress is noted, endorse outcome If slow progress is noted, have meeting with PGR and supervisors to discuss appropriate action	**FRDC** Outcome reported to and ratified by FRDC

The PGR should meet with the supervisory team (and Departmental PGR Lead or representative, if appropriate, for example, if there are concerns about progress or engagement) who will assess engagement and progress against the following outcomes:

- Excellent Progress
- Good Progress
- Satisfactory Progress
- Slow Progress.

Where slow progress is identified, the faculty may invoke the lack of progress or lack of engagement processes.

Assessment of annual progression will normally take place at faculty level. The outcome of the Annual Review will pass to FRDC for consideration, and if appropriate ratification, and reported to the PGR, and, via minutes, to the university's RDC.

It is recommended that those on Professional Doctorates or other non-standard research degrees refer to their programme handbooks or seek advice from their supervisory team regarding any specific requirements of the Annual Review process.

10.6   MAJOR REVIEW

10.6.1. Introduction

The Major Review is an important milestone, normally mid-way through a PGR's enrolment to ensure they are on track to complete their research degree in a timely and successful manner.

The assessment process is centred on the submission of a Briefing Paper (up to 3,000 words ± 10%, or equivalent, supported by an abstract of 300 words, with supplementary examples of progress to date) and discussion with an independent faculty panel. The process will:

- assess the quality and timeliness of their work to date
- confirm that the scope of the research project will fulfil the requirements of a PhD
- confirm the PGR's capability to complete their PhD in a satisfactory and timely manner.

Undertaking the Major Review will allow the PGR to:

- bring together the research activities and outputs they have undertaken since enrolment
- have someone outside their supervisory team review and offer constructive feedback
- defend the approach to their research (so far)
- practice for their final *viva voce* examination.

The key aspects and timings of the Major Review are as follows:

Aspect	Details
Submission date	Up to 14 months (FT) post-enrolment Up to 28 months (PT) post-enrolment
Assessment	Verbal presentation & discussion with faculty panel
Completion date	Up to 18 months (FT) post-enrolment Up to 36 months (PT) post-enrolment
Word limit	Up to 3000 words or equivalent excluding the abstract

PGRs who are unable to meet the deadline for submission must formally request an extension in writing to the PGRA prior to this deadline. An extension of up to 6 months for full-time study (12 months part-time study) may be granted. If PGRs fail to meet this milestone on time, a formal lack of progress procedure will be triggered.

Any PGR wishing to submit their thesis in an integrated format should discuss the rationale with their supervisory team and make the request in writing preferably at the point of the Major Review and at the latest by the point of submission of the Intention to Submit form. The request should specify why the integrated format thesis is more appropriate for the research project and demonstrate how the PGR will take full advantage of this thesis format. For further guidance, refer to Section 10.9.

10.6.2. Briefing Paper

PGRs should discuss with their supervisory team the content and structure of the Major Review Briefing Paper as this may differ depending on the PGRs discipline and progress at the point of Major Review. There are two key options depending on whether the PGR intends to submit a standard doctoral thesis or an integrated doctoral thesis for the final *viva voce* examination.

For PGRs intending to submit a standard doctoral thesis, the *Standard Major Review Briefing Paper* should normally include:

- an abstract (not included in the word limit)
- evidence of progress to date, which may include brief summaries of:
  - academic literature and its context to the research
  - methodology and approach used in the research
  - findings, results and discussions to date.
- outline of proposed original contribution to knowledge likely to emerge from final thesis
- statement of intended further work, including a detailed timeline to completion.

Other material should be included to provide evidence of progress to date but will not be formally assessed. This may include draft chapters "or equivalent" to provide flexibility for practice-based research including non-textual evidence if appropriate.

The *Integrated Major Review Briefing Paper* is aimed at PGRs who have already produced work of publishable standard (published, submitted or ready for submission) and are intending to submit an integrated thesis. The

publishable work should be sufficient to provide the evidence of progress to date and will not need to be rewritten for the purposes of the review. However, this should be accompanied by a narrative of 1000 words ± 10% that sets out the overall context for the research and outlines future work. Submitting the Major Review Briefing Paper in this format is an indicator of the PGR's intention to submit an integrated thesis.

10.6.3. Appointment of the Major Review Panel

The approval of the panel is a formal procedure. It is expected that the supervisory team may suggest potential panel members but, to avoid any bias or improper judgement, the FRDC approves the panel and has the right to identify alternative panel members where appropriate.

The panel members should align the criteria for the *viva voce* examination team as far as possible as set out in Section 5.1.2. For example, the faculty should consider how each member of the panel complements the other(s) to provide a balanced and relevantly experienced panel. As far as possible,

- panel members should hold a doctorate
- the panel collectively, must have sufficient examination experience, i.e., normally a minimum of three prior reviews across the team, although it is recognised that this is a developmental opportunity for new examiners
- panel members should be experienced in the PGR's area of research and/or relevant methodology, and may, where appropriate, have relevant industrial or professional expertise
- panel members should be independent of the supervisory team and PGR
- the PGR must not have been advised, supervised, or had any close association with the panel members
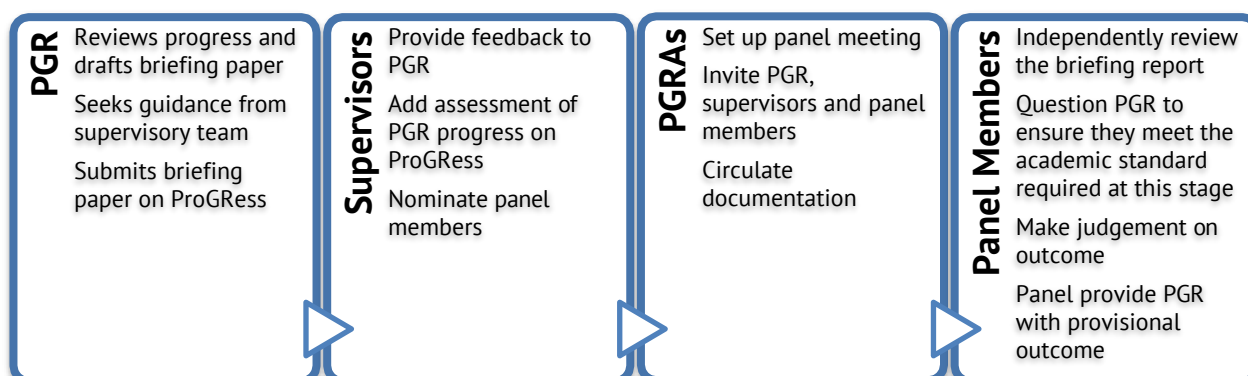- no person who is registered for a research degree at BU may act as a panel member

Where the panel does not fully satisfy the above criteria, FRDC should review the proposed panel to ensure they meet the above criteria. Members of the panel should have research degree supervisory experience. Conflicts of interest between members of the panel should be avoided as outlined for supervisory teams in Section 4.2.

In appointing panels, the faculty should be mindful of the diversity, equality, and inclusivity balance of the individual teams, where possible, and across the department and faculty as whole.

10.6.4. Presentation and Panel Discussion

The Major Review also provides PGRs with the opportunity to give a brief presentation (maximum ten minutes) to the panel prior to the discussion. The panel will have already read the PGR's Briefing Paper so the presentation should not just repeat the content but should also highlight key aspects of the PGR's research, demonstrating the scope of the project and how the PGR will complete it in a timely fashion. The presentation may include visual aids, if required.

The Major Review process is outlined below:

PGR	Supervisors	PGRAs	Panel Members
Reviews progress and drafts briefing paper	Provide feedback to PGR	Set up panel meeting	Independently review the briefing report
Seeks guidance from supervisory team	Add assessment of PGR progress on ProGRess	Invite PGR, supervisors and panel members	Question PGR to ensure they meet the academic standard required at this stage
Submits briefing paper on ProGRess	Nominate panel members	Circulate documentation	Make judgement on outcome
			Panel provide PGR with provisional outcome

The Major Review panel will comprise two independent academics, one of whom will act as chair. The Briefing Paper will be read by the panel in advance of the assessment meeting. At the meeting, the PGR will make a brief presentation to introduce their research project and highlight key aspects. The PGR will be asked questions by the panel to demonstrate how they will complete their research degree in a successful and timely fashion.

Members of the supervisory team may, with the consent of the PGR, attend the Major Review panel. However, they:

- may only offer comments when invited to do so by the panel members
- may be invited by the panel members to clarify a particular point for the PGR
- must withdraw from the panel meeting prior to the deliberations of the panel members on the outcome.

Under normal circumstances the faculty panel discussion will not be recorded.

10.6.5. Outcomes
Following discussion with the PGR, the panel would normally inform the PGR of the outcome by recommending one of the following, taking into consideration any comments from the supervisory team:

- Progress
- Resubmission (normally within 1 month full-time or 2 months part-time)
- Resubmission (normally within 2 months full-time or 4 months part-time) with re-assessment by a faculty panel (normally within a further month)
- Transfer to MRes / MPhil
- Withdrawal.

Where the panel members are not in agreement about the outcome of the Major Review, the panel members should provide separate reports and recommendations to the faculty. In such cases, where the panel members' recommendations are not unanimous, the faculty may require the appointment of an additional independent panel member, who is appointed by the DD(R) or equivalent.

The additional panel member will assess the Major Review document and prepare an independent report. This additional panel member should not be informed of the recommendations of the other panel members. On receipt of the report from the additional examiner, the faculty will consider all panel members reports and determine the appropriate outcome.

Where a resubmission is required, this will come with recommendations from the panel and their recommendations to enhance the research project. The panel could request either that evidence of amendments are approved directly by one of the panel (as nominated), or request the reconvening of the original panel, but with the addition of an independent chair.

In accordance with the assessment regulations, the PGR will be permitted a re-assessment on one occasion only. If the PGR fails to satisfy the faculty panel following resubmission, the panel may recommend:

- continue to work to the submission of a lower award
- be withdrawn.

Where the panel has feedback for the PGR (normally where a resubmission is required), they should provide this to the PGRA within 5 working days of the panel meeting who will share this with the PGR within a further 5 working days.

The outcome of the Major Review will pass to FRDC for consideration, and if appropriate ratification, and reported to the PGR, and, via minutes, to the university's RDC.

Continuation is dependent on successful completion of this stage. Failure may result in withdrawal due to lack of progress. In the exceptional circumstance that the panel considers the PGR has still not met the required standard, the PGR will either be transferred to an MPhil (subject to conforming to current UK student visa regulations) or be withdrawn, due to lack of progress. PGR progression will be reported, via ProGRess, to the FRDC.

Those on Professional Doctorates, or other non-standard research degrees, should refer to their programme handbooks or seek advice from their supervisory team regarding any specific requirements.

10.7 CONTINUATION STATUS

Continuation Status is used to define the status of doctoral students who have completed their normal period of enrolment but are still engaged in research activity or writing up until the point of submission of their thesis. Where appropriate, Continuation Status still allows these PGRs to have full access to research facilities and supervision.

These PGRs will be automatically transferred to Continuation Status after 36 months full-time enrolment or 72 months of part-time study. Any period of interrupted study taken within the normal period of enrolment will be taken into account and the commencement of Continuation Status will be delayed accordingly. Continuation Status will also apply to those PGRs who have been in receipt of a fee waiver (e.g., PhD Studentships (36 months full-time)).

Continuation Status fees will be £600 for the 12-month period, payable in one lump sum or, by prior agreement with Finance, in three instalments and in accordance with the _BU Student Fees Policy._ In exceptional circumstances, a request can be submitted for a different instalment plan, but this is on a case-by-case basis if the PGR is in financial difficulty throughout the year.

Continuation Status, and associated reduced fees, is applicable for a 12-month period only, during which time PGRs should submit their thesis. Failure to submit within this period will result in a return to normal enrolment and PGRs should be aware they may be liable for full fees until they submit. Fees will be payable until submission of the thesis; however, fees will not normally be payable during any period post _viva voce_ examination whilst corrections or amendments are carried out.

10.8 ALTERNATIVE FORMAT THESES

In line with BU's regulations, PGRs may submit for examination for the award of Doctor of Philosophy one of the following:

- a traditional chapter-based thesis
- an integrated thesis (Section 10.9)
- a practical element and supporting exegesis (appropriate for practice-led research) (Section 10.10).

The fundamental principle of each of the 3 types of submission is the same. PGRs submitting an alternative format thesis must follow the guidelines set out below.

10.9 INTEGRATED THESES

10.9.1. Introduction

The integrated format thesis allows PGRs to incorporate one or more "papers or paper style chapters" in the thesis. PGRs who are considering this route should discuss the specifics with their supervisory team preferably prior to the Major Review.

10.9.2. Key Principles

The integrated format thesis is available to PGRs enrolled on any research degree. All aspects, apart from the thesis format, align with the process for research degrees to ensure parity of academic quality and standards.

It is recognised the submission of an integrated format thesis may not be appropriate for all academic approaches and is likely to be more applicable in STEM based research degrees. However, this model aims to provide flexibility around the types and numbers of papers included in the thesis.

The integrated format thesis allows PGRs to incorporate material that is in a format suitable for submission for publication in a peer-reviewed journal or publication format suitable for your discipline. Apart from the inclusion of such materials, the integrated format thesis must conform to the same regulations that govern the traditional thesis.

The criteria for the award and the standard, including the volume and quality of original research, that must be achieved will also be the same as for the traditional chapter-based thesis. The thesis should remain an original contribution to the field of research by the PGR, regardless of the format.

10.9.3. Academic Support

Supervision for PGRs submitting an integrated format thesis will be provided in line with all doctoral PGRs. In addition to the support required for their research, PGRs will require support and guidance on compiling the papers or paper style chapters to be submitted and writing the supporting chapters that critically appraise these.

10.9.4. Process

Any PGR wishing to submit their thesis in an integrated format should discuss the rationale with their supervisory team and make the request in writing at the point of the Major Review. The request should specify why the integrated format thesis is more appropriate for the research project and demonstrate how the PGR will take full advantage of this thesis format.

Where a PGR includes jointly authored papers or paper style chapters in their integrated thesis, they should declare the extent to which the paper is their own work, and this should normally be certified by all authors concerned. It would be expected the PGR would be the lead author, contributing at least 75% of the substantive content of the paper. This statement should be bound with the other submitted materials[1]. The researched materials should be derived from original research undertaken after the date the PGR initially registered with the University.

Materials that can form part of the integrated format thesis may include those which are:

- published (permission may need to be sought from the publisher)
- accepted for publication
- submitted for publication
- planned for publication (prepared as manuscript)
- unpublished.

or any combination of the above as is appropriate for the discipline and individual research project.

PGRs should seek guidance from their supervisory team on what is most appropriate for their research. It is not the intention that every chapter of an integrated format thesis would automatically translate into a paper.

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[1] This is in line with the publications submitted to the Award of PhD by Publication

The number of papers or paper style chapters included in the integrated format thesis may vary according to discipline but will normally be a minimum of 2 papers and up to 5 papers. Where fewer papers or paper style chapters are included, it is expected that additional chapters will be included in the thesis to ensure the thesis, as a whole, reflects the quantity, quality and originality of research and analysis expected of a PGR submitting a standard doctoral thesis. Where a great number of papers or paper style chapters are included, they must constitute a body of knowledge within a coherent and continuous thesis, rather than a series of disconnected publications. As such, any publications should be adapted and integrated within the structure of the thesis. Any sections of the thesis which are published or in publishable format should be clearly identified.

It is essential the integrated format thesis includes detailed and critical analysis of the work and methods used, since sections formatted for publication/dissemination may not already include this level of detail. The structure of the integrated format thesis should include, in addition to all required pages for a standard thesis submission, the following:

- a rationale for submitting the thesis in an integrated format and an account of how the thesis format has been constructed
- a written context for the research, which may incorporate chapters defining the rationale for the research, literature review, methodology and the strategy employed during the research as demonstrated in the thesis. These may include:
  o a summary of each publication submitted
  o an outline of their interrelationship, including a synthesis of the work as demonstrated by the publications as a complete coherent study; a summary of the research aims, objectives, methodology, results and conclusions covered by the submitted work; a critical reflection of the research methodology and methods
  o a critical review of the significant and original contribution the work makes to the academic field in question
  o and a demonstration of the original and independent contribution to knowledge and a rationale to prove at least equivalence to that normally demonstrated by the submission of a thesis
- a summary/conclusion drawing together the various outcomes of the work into a coherent synthesis and indicating directions for future work.

The incorporation of publication-style chapters in the thesis may lead to some duplication since each publication-style chapter may have self-contained components that might overlap with parts of the other sections of the thesis. Nevertheless, the maximum length of the integrated format doctoral thesis should not normally exceed that of the traditional chapter-based thesis.

10.9.5. Assessment

The possible outcome of the examination of an integrated format thesis will align with those in place for other research degrees (see Section 12.4). As with all research *viva voce* examinations, examiners need to be satisfied with the PGR's defence in the oral examination.

As with the standard chapter-based thesis, examiners should satisfy themselves the integrated format thesis meets the requirements of the doctoral degree as prescribed in the appropriate regulations and policies. The fact that a thesis contains material that has been published or accepted for publication does not guarantee that the examiners will recommend the award for which the PGR is being examined. However, although some of the content of the integrated format thesis may be, by definition, already published and in the public domain, examiners are able to ask for modifications or more detailed analysis to be included in the accompanying supporting material and any unpublished papers.

10.9.6. Presentation of the Final Thesis

Please note that, due to copyright restrictions, the digital copy of the final version of the thesis must not contain publishers' versions of articles.

The process of submitting an integrated thesis follows the same steps as described in Section 12.1, with the additional steps outlined below:

- PGRs must complete section B of the *Deposit of and Access to a Thesis Form* with full details of any publication style material included in the thesis. If any material within the thesis is not to be made available via Open Access on BURO the signed consent of the faculty Executive Dean will be required in Section C of the form. The Library will liaise with the PGR about the appropriate manner in which published works can be integrated into the thesis following the Library's [guidance](#).

10.10 PRACTICE-LED THESES

10.10.1. Introduction

These guidelines are for use by BU academic staff and PGRs engaged with practice-led research. Practice-led researchers make original contributions to the store of knowledge about their discipline through a rigorous investigation of practice. This research is both initiated in practice and then pursued through practice. This commitment to place practice at the centre of the design, conduct and reporting of practice-led research separates it from conventional research approaches.

BU recognises that while the outcomes of practice-led research can parallel the range of outcomes found in many different academic approaches, the presentation of those outcomes differentiate practice-led research from other approaches. As such, the outcome (or thesis) is defined as a practical element and an exegesis, which addresses, elucidates and contextualises the work, and which will be examined as an integrated whole. BU also recognises that the nature of the practice-led research may require flexibility in the approach to monitoring, progression and examination and this section sets out to clarify where and how this may differ.

This section provides those undertaking a practice-led research degree, their supervisors and examiners with information, guidance and advice. It sets out the regulations and arrangements in place for undertaking a practice-led research degree (Master or Doctor of Philosophy). In all aspects of these arrangements, where appropriate, they should align with those arrangements already in place for the other research degrees to ensure parity of standards.

10.10.2. Principles of Practice-Led Research

Practice-led research is defined by the process undertaken and not by the form of the finished element. The goal of all research is to add to the store of knowledge and understanding. Practice-led research is a proven method of inquiry in which the contribution to knowledge and understanding is embedded in practice.

There is a fundamental difference between "practice" and "practice undertaken as part of a research programme". Most practitioners undertake research as part of their practice, but this research is very often focussed on realising a specific practical goal without communicating the findings of the research to others. In some areas of traditional research, the aim is similarly to meet a specific practical objective. The distinctive nature of practice-led research is however that the researcher's practice is fundamental to the journey of investigation with the aim of rendering significant aspects of the practice process communicable to add to humanity's shared knowledge and understanding.

The practice-led research degree must:

- define a series of research questions or problems that will be addressed during the research
- define its objectives in terms of seeking to enhance knowledge and understanding relating to the questions or problems to be addressed
- specify a research context for the questions or problems to be addressed
- specify why it is important that these questions or problems should be addressed, what other research is being or has been conducted in this area and what contribution this project will make to the advancement of creativity, insights, practice, knowledge and understanding in this area
- specify the research methods for addressing and answering the research questions or problems.

During the research project, how to answer the questions, or advance available knowledge and understanding of the problems must be shown. It should also explain the rationale for the chosen research methods and why they provide the most appropriate means by which to answer the research questions.

Contributions of practice-led research may include:

- the realisation of new design solutions
- aesthetic development
- new subject specific methods or techniques
- generic methodological innovation
- new understanding of practice-led processes
- new models of practice
- new theoretical development
- new critical positioning of praxis
- new knowledge that could only have been created through practice.

10.10.3. Mode of Learning

The following practice-led research degrees are awarded to PGRs who successfully complete the following approved programmes of supervised research, on a full or part-time basis, at BU:

"Practice-Led" Master's by Research (MRes)

The MRes is awarded to a PGR who, having completed a programme of study which includes the development of generic research knowledge and skills applied to independent research on an approved topic, has presented and defended a practical element and accompanying exegesis, by *viva voce* examination, to the satisfaction of the examiners.

"Practice-Led" Master of Philosophy (MPhil)

The MPhil is awarded to a PGR who, having critically investigated and evaluated an approved topic and demonstrated an understanding of research methods appropriate to the chosen field, has presented and defended a practical element and accompanying exegesis, by *viva voce* examination, to the satisfaction of the examiners.

"Practice-Led" Doctor of Philosophy (PhD)

The PhD involves a more complex and advanced project and is awarded to a PGR who, having critically investigated and evaluated an approved topic, resulting in an independent and original contribution to knowledge and demonstrated an understanding of research methods appropriate to the chosen field, has presented and defended a practical element and accompanying exegesis, by *viva voce* examination, to the satisfaction of the examiners.

The fundamental principle of a practice-led research degree is the same as that of other research degrees and so a PGR for a practice-led research degree must also follow this CoP. However, the nature of the practice-led research may require flexibility in the approach to monitoring, progression and examination.

The academic standards required at each level are stated in the National Qualification Descriptors for Master's (M) Level and Doctoral (D) Level degree (set out in Appendices 4 and 5).

The eligibility criteria for enrolment on to a research degree are set out in the *Standard Admissions Regulations: Research Degrees*. However, a PGR for a practice-led research degree will also need to provide demonstrable knowledge and understanding, prior practice-led research or equivalent experience.

10.10.4. Academic Support

Supervision for PGRs for a practice-led PhD (or MPhil or MRes) will be provided in line with eligibility requirements for supervisors and their roles and responsibilities aligned to supervisors of conventional research degrees.

The differing needs of PGRs beginning programmes of practice-led research must also be considered. As such, it is important that supervisor/PGR relations allow time to define the specific issues raised by practice-led research in the specific area of enquiry, to establish a shared vocabulary, to identify what is invariant in practice and to initiate the PGR into the practice/research debate.

For example, in creative practice, process and method can be emergent following periods of experimentation and critical reflection and motivation for the research could have arisen around 'an enthusiasm of practice' rather than from a commonly recognised problem or question to be answered.

However, practice-led research can be used when it is the only way to answer a particular question/s. The framework agreed between PGR and supervisory team should not be viewed as prescriptive. It is a tool that allows supervisors to assess progress and a safeguard to ensure that material exists that will allow the thesis element and exegesis to be judged by appropriate examiners. It is expected that practitioners engaged in critical research will see goals and methodologies change, and it is important that these changes are consistently documented.

10.10.5. Process
The process for undertaking a practice-led research degree must align as far as possible with that set out for other research degrees. However, it is acknowledged that these 'key milestones' often impair progression for they impose the protocols of problem-led research on practice-led researchers. As such, in addition to the requirements stipulated in this CoP, PGRs developing practice-led research are also expected to provide appropriate evidence of progress with their practical element.

It is expected the initial supervisory meeting will contain discussion on appropriate methods for documenting the practice-led process sufficient to justify the award at examination. It is also expected the supervisory team and the PGR should agree a timetable for certain stages of the practical element.

The probationary review may need to address different questions than those posed for other research degrees. As such those embarking on a practice-led research degree should be advised to consider:

- the planned practice-led research project - the project planned for examination, the scope and scale of the project, when and where the research will be undertaken
- the context and rationale for the research project - indicate the 'enthusiasms of practice' and/or the 'necessity for practice' that are informing the project and outline the larger theoretical landscapes which inform the practice
- the methodology or practicalities behind the practice-led research project - account for the broad paradigms (cultural, aesthetic or philosophical frameworks) that are informing both the research and the researcher, explain the techniques and strategies of practice used to document research
- any collaboration - explain what IP and copyright arrangements are in place, representing and reporting knowledge claims – balancing the practice-led output with the exegesis
- the costing of the practice-led research project - provide an approximate budget for the project, account for any external funding which has been secured, clearly state any university resources which will be required and state if they have been approved and allocated
- a timeline for completion of the project – including the research, production of practical element, production of exegesis, final seminar and the project event (if relevant) which will require examiners to attend.

The PGR should undertake a contextual review which includes the literature but also influential practitioners, periods and works. This may not come early in the process. Materials and methods are likely to arise from the 'techniques and strategies of practice' and will be used to document the research.

For PGRs wishing to submit for a practice-led PhD, the process and outcome of the Major Review should parallel that of other research degrees. As with the Probationary Review, the Major Review for PGRs undertaking a practice-led PhD may need to address additional areas such as:

- further analysis and discussion of the areas identified at the Probationary Review stage
- details, and good quality documentation, of the practice-led research events (e.g., prototypes, practical development intensives, sketches, models, designs) undertaken in the first year of study
- explanation of how these events have informed the emerging examination project
- an outline of the postgraduate researcher's participation in other scholarly activities
- plans for the thesis (practical element and exegesis) to be submitted for examination, including the weighting between the two
- an account of the purpose of the exegesis and an explanation of how the practice-led outcome and the exegesis are connected.

10.10.6. The Full Submission

"Students may undertake a programme of research in which their own creative work forms, as a point of origin or reference, a significant part of the intellectual enquiry. In such cases, the 'thesis' is understood to mean the totality of the work submitted for the degree, which will include the creative work itself (or its adequate documentation) and a written text. Such creative work may be in any field within the competence of the staff, and commensurate with the mission statement, of the University."
(University of Arts)

The full submission for the practice-led MRes, MPhil or PhD should include the practical element and a supporting exegesis. Together, the practical element and exegesis should be of a standard equivalent to that of a conventional PhD (or MPhil or MRes) in the relevant academic area. A full appreciation of the originality of the work and its contribution to new knowledge should only be possible through reference to both.

The exegesis should set the practice in context and should evaluate the contribution that the research makes to the advancement of the research area. The exegesis must be of an appropriate proportion of the submission for the relevant award and would normally be no less than the following:

Aspect	Details
Doctor of Philosophy (PhD)	20,000 to 40,000 words or the equivalent
Doctor of Education (EdD)	20,000 to 40,000 words or the equivalent
Master of Philosophy (MPhil)	15,000 to 30,000 words or the equivalent
Master's by Research (MRes)	10,000 to 20,000 words or the equivalent

As with a conventional research degree thesis, the full submission should be submitted in accordance with the Section 12.1. For a practice-led research degree, this must include:

- the practical element (including a permanent record) possibly, but not limited to, an artefact, performance or exhibition, which must have been undertaken as part of the research programme
- appropriate good quality documentation of both the practical process and the finished element.

Outputs for practice-led research may take any number of forms, may be ephemeral and may depend heavily on unpredictable audience interaction. Research has been evidenced, for example, through outputs on permanent public display, community schemes, temporary exhibitions, performances and forms that are experienced by the public and are then published, critiqued and publicised through various media. However, though the practical element of the thesis may be temporary or transitory in nature, good quality documentation of the completed practical element must be included in the submission. This documentation should be appropriate to the nature of the practical element and the form, quantity and quality should have been discussed and agreed with supervisors at appropriate times in the research degree journey. The body of original work shall be documented together with any necessary textual material, including labels or notes of explanation written in English. The documentation must be in permanent form and shall be to a standard whereby a future researcher may recognise the new knowledge represented or embodied within the portfolio, as determined by the examiners.

10.10.7. Assessment

Assessment of a practice-led research degree should align with the same standard as those that operate for other research degrees.

Appointment of examiners must meet the standard eligibility requirements and will be approved following the same procedure. In addition, the examining team of a practice-led research degree should normally have prior experience of similar works and may also include an active practitioner or professional who is not an academic.

The role of the examiners must follow the standard guidance. As with other research degrees, the assessed work should demonstrate an independent and original contribution to knowledge and an understanding of relevant research methods. The purpose of the practical element is to provide a coherent demonstration that the PGR has achieved the intentions of the research programme and in doing so has made a substantial original contribution to the discipline.

In the case of the practice-led research degree, the new knowledge is represented or embodied within the practical work and its accompanying exegesis. The assessment will include independent examination of the "thesis" followed by a *viva voce* examination.

The requirement for comparability of standards presents different challenges to the examiners and in the case of the practice-led research degree the examiners' main tasks are to ensure that the work has the following attributes:

- it represents the PGR's ownership of the work and provides an appreciation of the state of knowledge within the PGR's research area
- it demonstrates a professional level of familiarity with and understanding of contemporary work in the field
- it demonstrates a sufficiently comprehensive investigation of the form and practical content
- the methods and techniques applied in the execution of the work are appropriate to the subject matter and are original and/or effective
- it evaluates the appropriateness of the methods employed in the research and the correctness of their application
- the practical work is presented in a sufficiently professional manner
- the practical work demonstrates a sufficiently high standard of literary, visual, digital, musical or performance literacy and quality
- the research question(s) has/have been identified and tested through the practical work
- the documentation of the work (including catalogue/programme material where appropriate) is sufficiently thorough and is of a standard that will ensure the work provides a reference for subsequent researchers
- the practical work and the dissertation together constitute a substantive original contribution to knowledge in the subject-area with which it deals
- there is an appropriate and substantiated interface between the practical work and the exegesis.

10.10.8. Outcomes of the Viva Voce Examination

The outcome of the examination of a practice-led research degree will align with those in place for other research degrees (see Section 12.4). However, examiners are advised they may ask for practical elements to be represented or re-documented if they do not meet the set criteria. In addition, the examiners can ask for modifications to the accompanying exegesis. As with all research degree *viva voce* examinations, examiners need to be satisfied with the PGR's defence.

11 NON-STANDARD RESEARCH DEGREES

11.1 INTRODUCTION

BU offers a portfolio of research degrees, which generally follow the policies and procedures set out in this CoP. This section sets out the additional guidance for research degrees which deviate from this CoP, including:

- Professional Doctorates are research degrees where the focus of the research is commonly set within a professional practice setting. These may follow bespoke processes and procedures which are identified in a Programme Specification Handbook. Formal taught elements and/or significant cohort/group activities may be included. BU currently offers the following Professional Doctorates:
  - Doctor of Education Creative and Media
  - Doctor of Engineering Digital Media and Doctor of Professional Practice Digital Media –
- Clinical Academic Doctorate
- UKRI Funded Doctorates
- Doctor of Philosophy (PhD) by Publication.

11.1.1. Doctor of Education (EdD)

The standard of a Doctor of Education (EdD) is that expected of a graduate who has satisfactorily completed a programme of study which includes the critical investigation and evaluation of an approved pedagogic-centred or professional practice topic resulting in a fundamental advance in pedagogic theory and/or practice and who has demonstrated an understanding of appropriate research methods and has presented and defended a thesis and/or other practical elements, by oral examination, to the satisfaction of the examiners. BU currently offers one Doctor of Education Creative and Media, provided by Centre for Excellence in Media Practice.

11.1.2. Doctor of Professional Practice (DProf)

The standard of a Doctor of Professional Practice (DProf) is that expected of a graduate who has satisfactorily completed a programme of study which includes the critical investigation and evaluation of an approved organisation-centred performance or professional practice topic resulting in an original contribution to theory and practice and who has demonstrated an understanding of appropriate research methods and has presented and defended a thesis, by oral examination, to the satisfaction of the examiners.

BU currently offers the following professional doctorates:

- Doctor of Professional Practice Digital Media
- Doctor of Professional Practice Health and Social Care.

11.1.3. Doctor of Engineering (EngD)

The standard of a Doctor of Engineering (EngD) is that expected of a graduate who has satisfactorily completed a programme of study which includes the critical investigation and evaluation of an approved industrial, technical or professional practice topic resulting in an original contribution to industrial or technical theory and/or practice and who has demonstrated an understanding of appropriate research methods and has presented and defended a thesis and/or other practical elements, by oral examination, to the satisfaction of the examiners. BU currently offers one Doctor of Engineering, provided by Centre for Digital Entertainment, which is linked to the Doctor of Professional Practice Digital Media.

11.2 DOCTOR OF EDUCATION CREATIVE AND MEDIA (EdD)

11.2.1. Background

The Doctor of Education Creative and Media (EdD) programme is a unique part-time virtual learning route of doctoral study designed specifically for working teachers of media and creative subjects in schools, colleges and Higher Education. The programme would also be of benefit to those teachers not necessarily involved in the delivery of creative or media teaching, but who have an interest in researching how media and digital technologies impact on teaching and learning.

This doctorate sits within the Centre for Excellence in Media Practice (CEMP) in the Faculty of Media & Communication. Doctoral students all receive individual supervision by active researchers in the field of creative and media education, and the programme is delivered online and supported by two 2-day virtual conferences a year in October and June and a one-day virtual workshop in February.

The EdD programme is structured into two phases of study, a two-year taught phase and a two-to-four-year supervised phase, which build toward a c. 60-80,000-word thesis (or practice-based equivalent), the submission of which is followed by a *viva voce* examination. The Doctor of Education Creative and Media (EdD) at BU would normally take between four and six years part-time to complete. Continuation fees will be applied after year 4 (see Section 10.7).

11.2.2. Transition Assignment

Students who have undertaken taught elements of an EdD at another institution may apply to begin the programme at the half-way point of the taught phase, subject to the satisfactory submission of a transition assignment, or evidence of other prior learning as agreed by the Programme Lead. See the Doctor of Education Creative and Media (EdD) Specification and Handbook.

11.2.3. Other Related Documents

Those registered on the EdD should also refer to the *Doctor of Education Creative and Media Specification and Handbook* for additional information.

11.3 DOCTOR OF ENGINEERING DIGITAL MEDIA (ENGD) AND DOCTOR OF PROFESSIONAL PRACTICE DIGITAL MEDIA (DPROF)

11.3.1. Background

The Doctor of Engineering Digital Media (EngD) and Doctor of Professional Practice Digital Media (DProf) are collaborative programmes enabling industry-focused research and development work to take place in an industrial context. The programme embeds a PGR within a company to work on research problems of immediate industry relevance under real-world constraints. The programme operates across animation, VFX, games, simulation and other UK industry sectors including manufacturing and healthcare that utilise digital visualisation technologies. Please note that the EngD Digital Media and DProf Digital Media programmes are closed to new entrants.

These doctorates are outputs of the Centre for Digital Entertainment (CDE), which sits within the Faculty of Media & Communication. The CDE is a Centre for Doctoral Training funded by the Engineering and Physical Sciences Research Council and delivered in conjunction with the University of Bath.

Doctoral students are supported by an academic and industrial supervisory team and a team of CDE staff. The programme is four years full-time. The EngD provides a route for students whose research is primarily technical; the DProf is aimed at students engaged in creative research. Both routes comprise the production of a portfolio thesis defended by *viva voce* examination.

11.3.2. Related Documents

Those registered on the EngD and DProf must also refer to the BU EngD and DProf in Digital Media Programme Specification for detailed information on all aspects of these research degrees. A summary of the programme specification is available in the *BU CDE handbook*.

11.4 CLINICAL ACADEMIC DOCTORATES (CAD)

11.4.1. Background

The Clinical Academic Doctorate sits within the Faculty of Health and Social Sciences (FHSS). It is a unique four-year, full-time PhD, designed to allow healthcare practitioners to remain in practice and simultaneously conduct a piece of research. All research topics are jointly developed with the NHS Trust to meet a real clinical need. The PGR spends two days a week in clinical practice and three days conducting research and completing their doctorate.

11.4.2. Clinical Academic Doctorate roles, rights, and responsibilities

PGRs enrolled on Clinical Academic Doctorates are students at Bournemouth University (BU) and therefore members of the PGR community. The Student Agreement contains information about policies, procedures and other important information that apply to applicants and students of BU. In addition, all PGR students need to be familiar with their roles and responsibilities, as set out in this CoP.

11.4.3. Clinical Academic Doctorate timeline

The key stages and expected times for the Clinical Academic Doctorate students, which differ from those enrolled on a standard PhD programme (Section 10.3), are set out below:
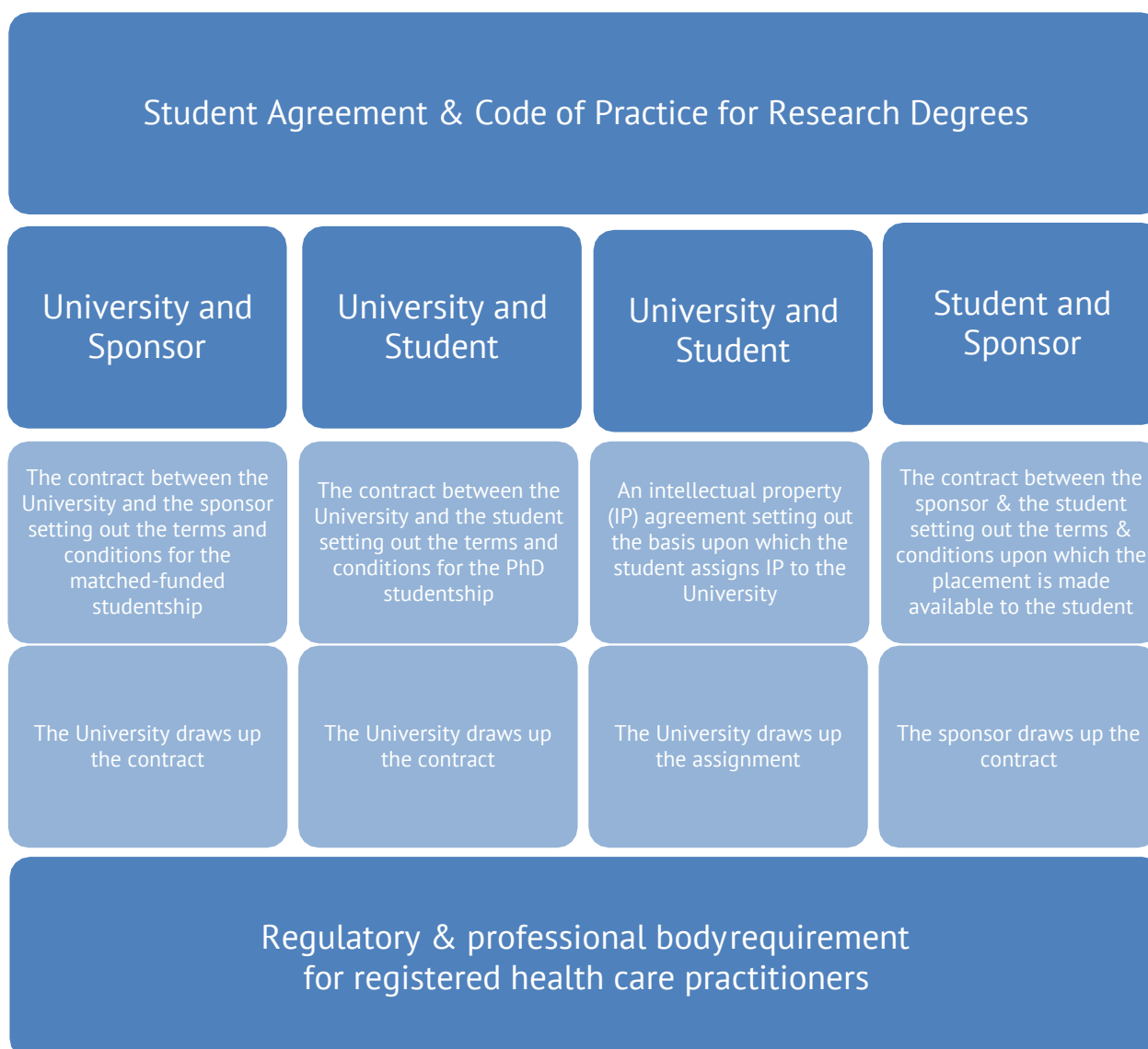
Milestone	Expected CAD Timeline	Refer to:
Enrolment & Induction	Day 1	Section 7.0
Probationary Review	3 months FT	Section 10.4
Annual Review	May annually	Section 10.5
Major Review	18 months FT	Section 10.6
Intention to Submit	3 months prior to submission	Section 12.2.1
Thesis Submission	48 months FT	Section 12.2.3
***Viva Voce* Examination**	Asap after thesis submission	Section 12.6
Completion	60 months FT	Section 12.10 & 12.11

Clinical Academic Doctorate students will be provided with a personalised timeline by their PGRA.

11.4.4. Specific Contractual agreements for Clinical Academic Doctorates

In addition to the Student Agreement, there are four different but interlinked contractual agreements set up for the purpose of delivering the Clinical Academic Doctorate studentship.

- *1. A contract between Bournemouth University and the Sponsor*
    - o   This contract sets out the terms and conditions upon which the Sponsor agrees to match fund the PhD studentship. For Clinical Academic Doctorates, the Sponsor will be an NHS Trust. The University is responsible for drawing up and completing this contract with the Sponsor.
- *2. A contract between Bournemouth University and the PGR student*
    - o   This contract sets out the terms and conditions upon which the University agrees to provide a maintenance grant and fee waiver ("Studentship") to the PGR student. The University is responsible for drawing up and completing this contract with the PGR student.
- *3. An Intellectual Property Assignment between the PGR student and Bournemouth University*
    - o   In return for the University agreeing to provide the PGR student with a Studentship, the PGR student is required to assign the intellectual property rights generated by them in connection with the research project to the University. This also enables the University to provide the Sponsor with the necessary licences for the Sponsor to use intellectual property rights generated during the research project. The University is responsible for drawing up and completing this Assignment with the PGR student.
- *4. A contract between the Sponsor and the PGR student*
    - o   This contract sets out the terms and conditions upon which the clinical placement associated with the Studentship is made available to the PGR student. The Sponsor is responsible for drawing up this contract. Both the Sponsor and PGR student are responsible for ensuring this contract has been completed before the PGR student undertakes any clinical duties.

Student Agreement & Code of Practice for Research Degrees			
University and Sponsor	**University and Student**	**University and Student**	**Student and Sponsor**
The contract between the University and the sponsor setting out the terms and conditions for the matched-funded studentship	The contract between the University and the student setting out the terms and conditions for the PhD studentship	An intellectual property (IP) agreement setting out the basis upon which the student assigns IP to the University	The contract between the sponsor & the student setting out the terms & conditions upon which the placement is made available to the student
The University draws up the contract	The University draws up the contract	The University draws up the assignment	The sponsor draws up the contract

Regulatory & professional body requirement for registered health care practitioners

11.4.5. *Roles and responsibilities of Registered Healthcare Practitioners*

PGRs who are registered healthcare practitioners must continue to comply with their relevant regulatory and professional body requirements.

11.5   UKRI FUNDED DOCTORAL STUDENTS

11.5.1. *Background*

The UK Research and Innovation (UKRI) brings together the seven Research Councils[2], Innovate UK and Research England. BU has several UKRI funded doctoral students, primarily in FST and FMC. These doctoral students may be linked to individual funded projects or be funded as part of a larger Doctoral Training Centre (e.g. the Centre for Digital Entertainment – see Section 11.3).

Some UKRI funding is through CASE studentships which are collaborative training grants that provide PGRs with a first-rate challenging research training experience, allowing top quality graduates to undertake

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[2] AHRC (Arts & Humanities Research Council); BBSRC (Biotechnology & Biological Sciences Research Council); ESRC (Economic & Social Research Council); EPSRC (Engineering & Physical Sciences Research Council); MRC (Medical Research Council); NERC (Natural Environment Research Council); STFC (Science & Technology Facilities Council)

research, leading to a PhD, within the context of a mutually beneficial research collaboration between academic and partner organisations.

UKRI supports doctoral students with:
- funding to cover fees and living costs, known as studentships
- other training and development opportunities that complement your doctoral programme

and
- opportunities for additional funding to cover the cost of other related training and development opportunities, including:
  - conference attendance
  - fieldwork
  - language training
  - overseas research visits
  - internships or placements with a non-academic partner.

11.5.2. UKRI Funded PGRs roles, rights, and responsibilities

UKRI funded Doctoral students are students of BU and therefore members of the BU PGR community. The Student Agreement contains information about policies, procedures and other important information that apply to applicants and students of BU. In addition, all PGR students need to be familiar with their roles and responsibilities, as set out in this CoP.

UKRI funded Doctoral students will also have to abide the UKRI terms and conditions associated with their funding.

11.5.3. UKRI Funded Doctorate timeline

The key stages and expected times for UKRI Funded Doctoral students, which may differ from those enrolled on a standard PhD programme at BU (Section 10.3), are set out below:

Milestone	Expected 48-month Timeline	Refer to:
Enrolment & Induction	Day 1	Section 7.0
Probationary Review	3 months FT	Section 10.4
Annual Review	May annually	Section 10.5
Major Review	14 months FT	Section 10.6
Intention to Submit	3 months prior to submission	Section 12.2.1
Thesis Submission	48 months FT	Section 12.2.3
Viva Voce Examination	Asap after thesis submission	Section 12.6
Completion	60 months FT	Section 12.10 & 12.11

UKRI funded Doctoral departmental students will be provided with a personalised timeline by their PGRA.

11.6   PHD BY PUBLICATION

11.6.1. Scope and Purpose

This section provides members of staff at BU with information, guidance and advice on the PhD by Publication It is important that those undertaking a PhD by Publication understand that this is a retrospective award in which the published or creative work should be in the public domain prior to enrolment.

If there is no portfolio of published work, members of staff may wish to consider undertaking a PhD by Integrated Thesis (see Section 10.9). It sets out the regulations and arrangements in place for the PhD by Publication. It is the intention in all aspects of these arrangements that, where appropriate, the procedures relating to the PhD by Publication mirror those already in place for the 'traditional' PhD at BU, so ensuring equivalence of standards. As such, this guide should be used to supplement the information provided in other sections of this CoP.

The purpose of the award is to enable the degree of PhD to be awarded to PGRs on the basis of their original contribution to knowledge and scholarship as manifested in published or creative works. As such, it enables formal recognition of established researchers and/or academics who have a substantial reputation in their fields on the basis of their record of academic work and for whom enrolment on a PhD programme would be inappropriate.

Members of staff registered on a PhD by Publication are required to operate in accordance with the relevant University policies and procedures.

11.6.2. Definitions

The definition of the award of PhD by Publication is provided in *2A Awards of the University: Policy*:

The standard of the Doctor of Philosophy (PhD) by Publication is that expected of a graduate who has satisfactorily evidenced, through the presentation of publications and/or other practical elements, the critical investigation and evaluation of an approved topic(s) and who has demonstrated an understanding of research methods appropriate to the chosen field resulting in an independent and original contribution to knowledge, and has presented and defended a thesis incorporating publications and/or practical elements, by oral examination, to the satisfaction of the examiners.

11.6.3. Eligibility Criteria

The eligibility criteria for enrolment on to a PhD by Publication are as follows:

- A first or second class (2.1) UK Bachelor's degree or overseas equivalent or in a discipline which is appropriate to the proposed research or a UK Master's degree or overseas equivalent in a discipline which is appropriate to the proposed research, awarded, normally, not less than five years before the date of application
- The applicant must be a member of BU staff, normally, of not less than two years' standing, or a graduate of BU, with a first-class honours or higher degree awarded, normally not less than 5 years before the date of application.

If a PGR meets the above criteria and wishes to enrol for a PhD by Publication, they should have an initial discussion with their DD(R) who must support their enrolment and who will appoint an appropriate advisor.

The *prima facie* stage will provide a 'pre-admission' element to the PhD by Publication. The maximum period of enrolment following the *prima facie* stage is 12 months although it expected that many PGRs will be able to submit after 6 months.

Should a PGR registered for a PhD by Publication leave BU before submission, they will continue to receive appropriate support, but they will be liable for payment of fees.

11.6.4. Academic Support

PGRs for a PhD by Publication will require support and guidance on compiling the published or creative works to be submitted and writing the supporting document that critically appraises these. As such, all staff registering for a PhD by Publication will be allocated an advisor by their DD(R).

The appointed advisor will be a member of staff who is experienced in the supervision of doctoral research. Where it is not possible to appoint an experienced advisor within the University, who is an expert in the relevant field, an external advisor may be appointed. In such a situation, an internal 'first' advisor will be appointed from the general subject area.

The role of the advisor will be to:

- guide the PGR in the selection, coherence and quality of published or creative works for inclusion in the submission
- guide the PGR as to whether further published or creative works are needed

- support and advise on the development of the synthesis
- provide support and advice to the PGR on preparation for the *viva voce* examination.

11.6.5. The Prima Facie Stage

PGRs for a PhD by Publication will be required to submit an initial *prima facie* stage prior to formal enrolment on the programme on the *PhD by Publication – Prima Facie Case* form, available from the PGRA. The objective of this is to enable a preliminary judgement to be made as to the quality and coherence of the published or creative works to be submitted for assessment, and consequently the likelihood of a submission which will meet the criteria for an award.

Following the initial discussion with the DD(R), and with the guidance of their advisor, PGRs should make a *prima facie* case for submission to the FRDC. The *prima facie* case should demonstrate that there is a sound basis for proceeding to a formal examination of the PhD by Publication and should include:

- a detailed list of the published or creative works on which the application is based and which will be submitted in the final body of work
- a critical summary, of approximately 500 words of the contribution to knowledge represented by the published or creative works establishing how the works constitute a coherent study. It should also indicate the methodology adopted in the research.

The *prima facie* stage should be sent to the FRDC for support and if it is recommended that the applicants be eligible for admission to a PhD by Publication, the documentation, including details of nominated advisor, should be forwarded to the Doctoral College for ratification. The applicant will be required to complete the application process via the online application portal, myHub.

Applicants who do not pass the *prima facie* stage will have the right of appeal and should do so, in writing to their DD(R) within 10 working days of receiving this decision.

11.6.6. Nature and Quantity of Publications or Creative/Performance Works

Any submission for a PhD by Publication will involve a coherent body of published or creative works, with appropriate currency. These publications must not have been used in the submission for another research degree.

For the purpose of this award, the publications will normally be in the form of written text - articles in peer-refereed journals, books (or chapters therein) or conference papers. Other forms of creative work may be submitted where they are considered equivalent to peer-refereed articles. These may include original works of art, productions, exhibitions or designs appropriate to the PGR's discipline or medium, presented as a durable, visual record.

Whatever form the published or creative work takes it is necessary that it should, at the very least, have been accessible within the public domain and have undergone a refereed or substantive peer review process. It will also be possible to include some published or creative works which are in press, or which have been accepted for publication. Where a PGR includes jointly authored publications in their submission, they should declare the extent to which the publication is their work, and this should normally be certified by all authors concerned. This statement should be bound with the other submitted materials. Publications of any form should normally have been published within the 10 years previous to the date of submission, although the accompanying synthesis can be used to explain the choice of additional publications.

It is not possible to quantify the number of publications or define the amount of creative/performance works, as this is specific to each PGR, their area of research interest and the types of publications submitted. The PGR must explain their choice of publications in the accompanying synthesis.

11.6.7. Full Submission, including Supporting Synthesis

The full submission for the PhD by Publication should include a series of published or creative works and a supporting and overarching synthesis, which draws the publications together and critically appraises them.

The published or creative works and the supporting synthesis should be of a standard equivalent to that of a 'traditional' PhD in the relevant academic area and should demonstrate the PGR's original contribution to knowledge.

The synthesis, of up to 20,000 words, should demonstrate that the published or creative works contain unifying themes and comprise a coherent body of academic work that meets the requirements for the award of PhD. The introductory section should:

- set the published or creative works in the context of existing literature and evaluate the contribution that the research makes to the advancement of the chosen subject or professional area
- stress the coherence of the published or creative works, linking them to the methodology adopted
- demonstrate the acquisition and utilisation of appropriate research skills equivalent to those of a traditional PhD student who has reached the end of the writing-up stage
- include a section relating to the PGR's research methodology. This is particularly relevant if detail regarding methodology is not included in the publications. The PhD is about rigour of research process as well as the originality of the outcomes
- in cases where the published or creative works are jointly authored by the applicant and other persons, the introductory section should also describe the roles played by those joint authors and contain percentage estimates of the applicant's input into each jointly authored work.

The synthesis needs to include sufficient evidence to help the Examiners and readers establish why the published or creative works meet the requirements for a PhD by Publication. As with thesis submissions for a 'traditional' PhD, the overarching document and the relevant publications may be submitted in the format outlined in Chapter 13.

11.6.8. Assessment

Assessment of a PhD by Publication should reflect the same standard as those that operate for 'traditional' PhDs as set out in Section 10. This assessment will include a *viva voce* examination, and in-line with the regulations in place for a member of staff undertaking a traditional PhD, the examination team must comprise at least two examiners, both of whom must be external. An additional internal examiner may also be present. Both external examiners must have examined at least once at doctoral level and normally have experience of assessing PGRs for a PhD by Publication. An independent chair of the *viva voce* examination will also be appointed by the FRDC, in order to safeguard the PGR's interests, ensure that the regulations and procedures are followed and produce a permanent record of the proceedings.

The requirement for comparability of standards presents different challenges to the examiners and in the case of the PhD by Publication, the examiners' main tasks are:

- to evaluate the intellectual merit of the PGR's submitted published or creative works
- to establish if a satisfactory case is made for coherence between the published or creative works
- to assess the contribution to knowledge represented by the published or creative works and made apparent in the synthesis
- to evaluate the quality of the PGR's cited published or creative works
- to evaluate the appropriateness of the methods employed in the research and the correctness of their application
- to place the published or creative works within the time frame and facilities within which the published or creative works were made
- to establish the PGR's ownership of the published or creative works and appreciation of the state of knowledge within the PGR's research area
- to assess the PGR's contribution to the various phases of the research embodied in joint or multi-authored works
- to assess the PGRs understanding of their contribution as evidence through their defence.

11.6.9. Outcomes of the Viva Voce Examination

The outcome of the examination of a PhD by Publication should reflect those in place for 'traditional' PhDs. The publications/creative work is, by definition, already published and in the public domain, therefore examiners are only able to ask for modifications to the accompanying synthesis. As with all research degree *viva voce* examinations, examiners need to be satisfied with the PGR's defence. As such, the recommendations available to the examiners are set out in Section 12.4.

11.6.10. Fees

Full-time members of BU staff will receive a full fee-waiver when undertaking a PhD by Publication subject to faculty approval. Should the staff member leave BU before submission, they will be liable for payment of fees.

12   EXAMINATION AND COMPLETION

12.1   THESIS SUBMISSION

12.1.1. Intention to Submit

A PGR should declare their intention to submit approximately 3 months prior to submission by completing the *Intention to Submit* from within ProGRess. This would normally be along the following timescales:

	Intention to Submit		Submission	
	Full-time	**Part-time**	**Full-time**	**Part-time**
MRes	8 months	16 months	10 months	20 months
MPhil	16 months	22 months	18 months	24 months
PhD	33 months	69 months	36 months	72 months

Completing the *Intention to Submit* form will trigger the formal nomination and approval of the examination team so that arrangements for the *viva voce* examination can be made. The PGR should also check the requirements for formatting of the thesis for examination with their supervisory team or PGRAs.

A PGR who has exceeded their maximum period of enrolment, or will do prior to submission and examination, will need to request an extension to enrolment. Applications should be made to the faculty via the PGRA. Each case will be considered individually and should be accompanied by supporting medical or other evidence.

12.1.2. Thesis Title

The thesis title submitted on the *Intention to Submit* within ProGRess is the final, formally approved title. A PGR who seeks to change the title of the thesis after this point should seek advice from their PGRA. If the PGR presents a final copy of their thesis holding an incorrect title, they will not be awarded their degree.

12.1.3. Submission

On submission of the thesis for examination, the PGR and supervisory team should complete the *Declaration* within ProGRess which:

- confirms adherence to university rules
- declares that the thesis is the PGR's own work
- records acknowledgement of supervisory team.

The thesis is the PGR's own work and the decision to submit is the PGR's. However, if this is against the advice of the supervisory team it should be recorded in the *Declaration* section of ProGRess and the PGR should be informed. Where a PGR submits their thesis without the full support of their supervisory team, they should provide a rationale for their decision. Similarly, the supervisors should also provide a rationale, outlining their reservations about the thesis in its current form, or other pertinent information. These statements will not be shared with the examining team.

Normally the PGR must submit the following to the PGRA well in advance of any proposed examination date:

- one electronic copy in PDF format of the thesis, including the abstract, and a completed copy of the PGR's Declaration on ProGRess.

In cases where a PGR has outstanding debt, they may be examined but no award will be made until the debt is settled.

12.2   ARRANGEMENTS FOR THE EXAMINATION

Every effort will be made to ensure timely arrangement of the *viva voce* examination following formal approval of the examination arrangements, but this is dependent on several factors:

- scheduling of the *viva voce* examination
- submission of thesis
- assessment of the thesis.

These events relate to the formal examination of the research degree and are not negotiable. PGRs should note the examination procedure is a lengthy process. In making other arrangements (such as travel, work, etc.), the PGR should ensure they are available to attend BU as required for the *viva voce* examination, including completion of, presentation of and approval of any modifications and submission of the final electronic copy of their thesis to the library.

The *viva voce* examination is normally held online, however, in exceptional cases the faculty may approve for the examination to take place in person. Appendix 6 provides guidance for the conduct of a *viva voce* examination held online.

Where for reasons of sickness, disability or a comparable valid cause, and BU is satisfied that a PGR would be under serious disadvantage if required to undergo a *viva voce* examination, an alternative form of examination may be approved. Such approval shall not be given on the grounds that the PGR's knowledge of the language in which the thesis is presented is inadequate.

Similarly, if at any point during the examination process, an examiner is unable to undertake their duties in a timely manner, or decides to step down from the examining team, it is the responsibility of the faculty to ensure an alternative and appropriate examiner is nominated through the normal process (see Section 5.1.1).

The PGRAs are the main point of contact throughout and are responsible for the examination arrangements, including:

- sending copies of the thesis to the examiners for independent review ahead of the *viva voce*
- arranging the date, time and other arrangements as required for the *viva voce* examination in conjunction with the examiners and the PGR and notifying the examining team, supervisory team and the PGR of the final arrangements for the *viva voce*
- appointing an independent chair, in conjunction with the DD(R), and providing them with a pack containing copies of the following:
    - o Examiner's Preliminary Report forms
    - o Examiners' Joint Recommendations form
    - o Chair's Report form
    - o *8A Code of Practice for Research Degrees*
    - o *Extract of Code of Practice for Research Degrees: Guidelines for Chairs & Examiners.*

Members of the supervisory team may, with the consent of the PGR, attend the *viva voce* examination. However, they:

- may only offer comments when invited to do so by the examiners, or independent chair
- may be invited by the independent chair to clarify a particular point for the PGR during the *viva voce* examination
- must withdraw from the examination prior to the deliberations of the examiners on the outcome.

If the supervisory team is not in attendance at the *viva voce* examination, they should be contactable during the examination so the examiners may seek clarification on any specific issue.
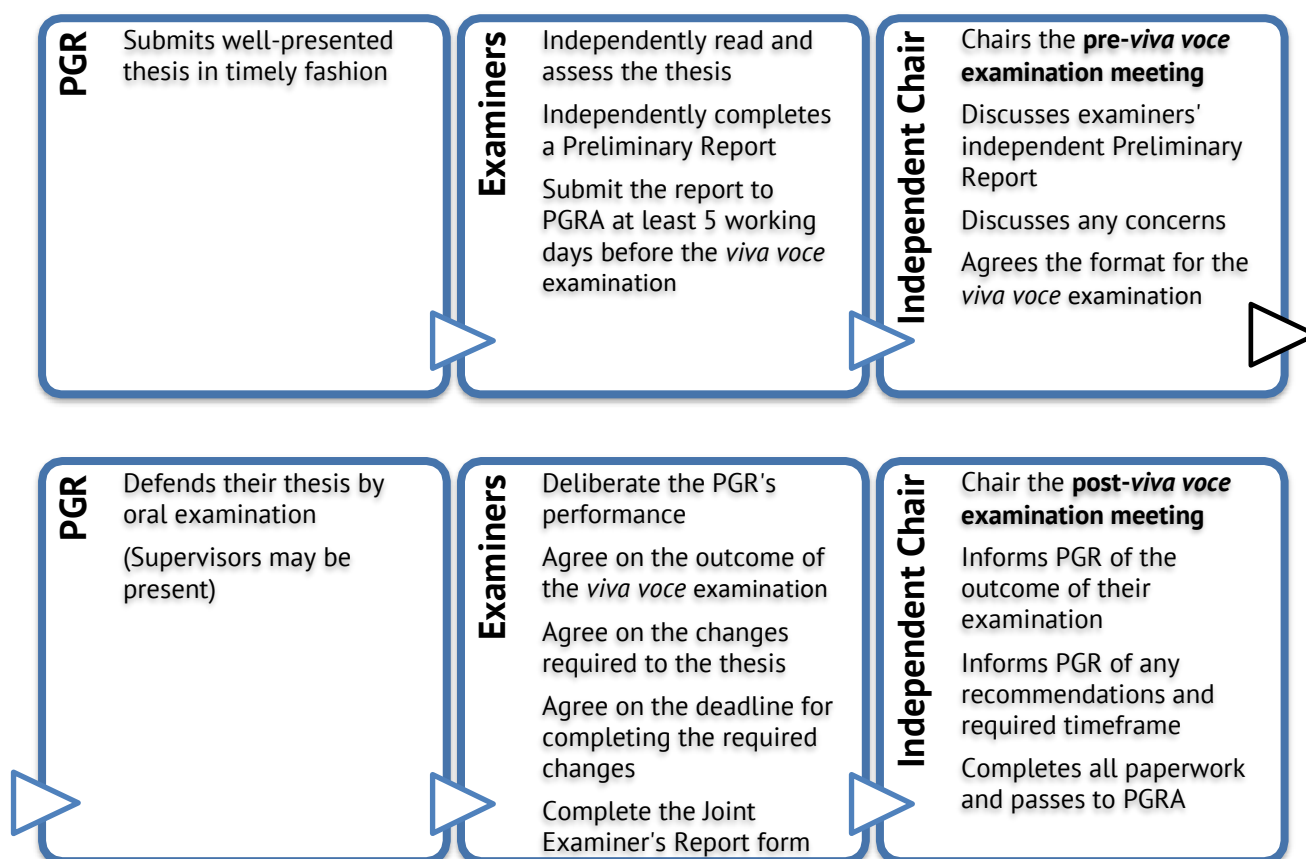
12.3   EXAMINATION OF THE THESIS

12.3.1. The Examination Procedure

The examination of a research degree thesis has two key stages:

- the preliminary assessment
- the defence by oral examination – the *viva voce* examination.

as outlined below:

PGR Submits well-presented thesis in timely fashion	**Examiners** Independently read and assess the thesis Independently completes a Preliminary Report Submit the report to PGRA at least 5 working days before the *viva voce* examination	**Independent Chair** Chairs the **pre-*viva voce* examination meeting** Discusses examiners' independent Preliminary Report Discusses any concerns Agrees the format for the *viva voce* examination
PGR Defends their thesis by oral examination (Supervisors may be present)	**Examiners** Deliberate the PGR's performance Agree on the outcome of the *viva voce* examination Agree on the changes required to the thesis Agree on the deadline for completing the required changes Complete the Joint Examiner's Report form	**Independent Chair** Chair the **post-*viva voce* examination meeting** Informs PGR of the outcome of their examination Informs PGR of any recommendations and required timeframe Completes all paperwork and passes to PGRA

12.3.2. *Pre-*Viva Voce *Examination*

Prior to the *viva voce* examination, each examiner should read the thesis independently examine the PGR's work in detail and submit a separate *Examiner's Preliminary Report* to ensure there is documented evidence the thesis has been independently examined. The examiners should not consult each other in the preparation of their reports.

In completing the Preliminary Report, each examiner must:

- consider whether the thesis provisionally satisfies the requirements of the degree
- if possible, make an appropriate provisional recommendation subject to the outcome of any subsequent examination
- include specific comments on
  o the literature review
  o application of research methods
  o literary, or other, form and presentation
  o the PGR's original contribution to knowledge
  o the extent of any collaboration
  o pre-*viva voce* examination judgement of the outcome.

The independent Examiner's Preliminary Reports should be submitted to the PGRAs normally 5 working days prior to the *viva voce* examination. The forms may be returned electronically with an e-signature. The reports should be treated as confidential and not be available to anyone other than the examiners and independent chair.

In the unlikely event the examiner(s) suspect academic misconduct (e.g., plagiarism) has occurred they should address this in their Preliminary Report. In this instance, neither the PGR nor the supervisory team should be

made aware of the concerns of the examiner(s). The *viva voce* examination should continue as planned and the PGR questioned on the alleged misconduct as part of the defence of his/her thesis. If following the *viva voce* examination, the examiner(s) still suspect academic misconduct, action will be taken in accordance with the University policy on academic misconduct as outlined in *6M Research Misconduct: Policy and Procedure*. Where an allegation is upheld, the examiners will be notified of any required action and whether the PGR is eligible for any recommendation.

Under normal circumstances, the examiners' reports are confidential and will not be shown to the PGR prior to examination. However, examiners should note all information held on the student file may be released to the PGR if requested as part of an appeals process; this includes the Preliminary, Joint Examiners' and Chair's Reports.

The independent chair will normally be sent the reports by the PGRA as soon as possible after they have been received, together with other relevant information. If appropriate, the faculty will share any major concerns that arise from the reading of the thesis with the other examiner(s) prior to the *viva voce* examination. On the day of the examination, the examiners will be provided with an opportunity to discuss their preliminary reports prior to the *viva voce* examination.

12.3.3. Viva Voce *Examination*

PGRs should be aware the *viva voce* examination will normally take place within a reasonable timescale after submission of the thesis; however, this will normally take place within 3 months of submission. The length of the *viva voce* examination is at the discretion of the examiners but will normally take between 2 and 3 hours.

The *viva voce* examination will normally be held online, in line with the guidelines, with the following persons present:

- PGR
- Independent chair
- External examiner(s)
- Internal examiner
- Supervisor(s) may also attend.

The faculty may give approval for the examination to take place in person. Under normal circumstances the *viva voce* examination will not be recorded.

The PGR will be required to withdraw from the proceedings in the company of their supervisor(s) (if present), whilst the outcome is deliberated. On return, the PGR will be informed verbally by the independent chair, or examiners, of the examiners' recommendations for the outcome of the examination.

12.3.4. *Disagreement Between the Examiners*

Where the examiners are not in agreement about the outcome of the *viva voce* examination, separate reports and recommendations may be submitted to the University. In such cases, where the examiners' recommendations are not unanimous, Senate may:

- accept the (unanimous) recommendation of the external examiner(s)
  or
- require the appointment of an additional external examiner.

Where it is required that an additional external examiner is appointed, the nomination must be undertaken independently of the supervisory team and follow the process set out in Section 5.11. The additional examiner shall assess the thesis and prepare an independent preliminary report on the basis of the thesis and, if considered necessary, conduct a further *viva voce* examination. This additional external examiner should not be informed of the recommendations of the other examiners.

On receipt of the report from the additional examiner, the University shall complete the examination as set out in Section 12.3.

12.3.5. Post Viva Voce Examination

The *Examiner's Preliminary Report* and *Examiners' Joint Recommendation* forms must together provide sufficiently detailed comments on the scope and quality of the work to enable BU to satisfy itself the criteria for the award of the degree have been met. If appropriate, the forms may be returned electronically with an e-signature.

The independent chair should provide the PGRA with all paperwork related to the outcome of the *viva voce* examination. After the *viva voce* examination, the examiners are jointly responsible for completing the *Examiners' Joint Recommendations* form. Both examiners should sign the completed report and return to the PGRA within 5 working days of the *viva voce* examination. This should clearly articulate any corrections, amendments or other changes required of the PGR with a clearly defined timescale. However, in the case of a disagreement between the examiners, independent reports are required – see Section 12.3.4.

Within 10 working days of the *viva voce* examination, the PGR should be formally notified of the examiners' recommendations and the timeframe for completion – see Section 12.4.1. The examiners' recommendations should also be sent to the supervisory team.

Should any circumstances arise where the examiners are failing to adhere to policies and processes, the independent chair and the DD(R) or nominee will consult, and seek advice from the Doctoral College if necessary, to determine appropriate action.

The process for approval of corrections and amendments is set out in Section 12.4.2. The process for resubmission and re-examination is set out in Section 12.4.3.

12.4   THE OUTCOME OF THE EXAMINATION

12.4.1. Examiners' Recommendations

In accordance with [6A Standards Assessment Regulations: Research Degrees](#), the examiners may recommend one of the following:

- **the appropriate award be made**
- **the appropriate award be made subject to CORRECTIONS being made to the thesis**
- **the appropriate award be made subject to AMENDMENTS being made to the thesis**
- **the PGR be permitted to RESUBMIT for the degree and be re-examined**
- **the PGR be awarded the lower research degree of MPhil/MRes**
- **the PGR not be awarded the degree and not be permitted to be re-examined.**

Details of the recommended outcomes are provided below:

Recommended Outcome	Recommended Timescale	Focus of changes	Next Steps
AWARD MADE	-	-	Examiners' reports should be returned to the PGRA, signed off by the DD(R) or nominee. The award will be ratified by the Doctoral College when all relevant documentation has been received and an award letter issued once the final thesis has been submitted to the library.
CORRECTIONS	1 month FT 2 months PT	Corrections are those NOT requiring academic re-assessment, for example: typographical & grammatical errors	Examiners must indicate what corrections are required and the timescale for submission. The PGR will receive written confirmation of the examiners' recommendations from the PGRA within 10 working days of the *viva voce* examination, including:

		• minor re-organisation of material.	• full details of the corrections to be made • the deadline for completion of the corrections • which examiner(s) are to approve the corrected thesis.
AMENDMENTS	6 months FT 12 months PT	Amendments refers to substantive changes including • academic clarification of points • additional references • restructuring & reformatting, • typographical & grammatical errors.	Examiners must indicate what amendments are required and the timescale for submission. The PGR will receive written confirmation of the examiners' recommendations from the PGRA within 10 working days of the *viva voce* examination, including: • full details of the amendments to be made • the deadline for completion of the amendments • which examiner(s) are to approve the amended thesis.
RESUBMISSION	12 months FT 24 months PT	Resubmission would normally require • a review of methodological approaches • re-examination of data • re-analysis of data • additional data collection, etc.	Examiners must indicate what changes are required and the timescale for re-submission. The PGR will receive written confirmation of the examiners' recommendations from the PGRA within 10 working days of the *viva voce* examination. Full details of the process for resubmission and re-examination is set out in Section 12.4.2.
LOWER AWARD	12 months FT 24 months PT	Specific changes may include any of the above and in addition, the presentation of the thesis for the lower award must meet the requirements of the lower award and be amended to the satisfaction of the examiners	Examiners must indicate which lower award is recommended: • For a PhD, this may be either an MPhil or an MRes • For an MPhil, this may an MRes • For an MRes, no lower degree may be awarded. Examiners must indicate what changes are required and the timescale for re-submission. The PGR will receive written confirmation of the examiners' recommendations from the PGRA within 10 working days of the *viva voce* examination, including: • full details of the amendments to be made • the deadline for completion of the amendments • which examiner(s) are to approve the amended thesis.
NO AWARD	-	-	The examiners may not recommend that a PGR fail outright without holding a *viva voce* examination or other alternative examination. Where the examiners recommend that the PGR **not be awarded** the degree or be permitted to be re-examined, they must provide written statements concerning the deficiencies of the thesis for the PGR. The PGR will receive written confirmation of the examiners' recommendations from the PGRA within 10 working days of the *viva voce* examination.

12.4.2. Process for Corrections and Amendments

Where the examiners recommend the PGR has either corrections or amendments, they must agree what changes are required and the timescale for completion and provide this in writing to the faculty. The PGR will receive written confirmation of the examiners' recommendations from the PGRA within 10 working days of the *viva voce* examination, including:

- full details of the corrections or amendments to be made
- the deadline for completion of the correction or amendments
- which examiner(s) are to approve the corrected or amended thesis.

It is the PGR's responsibility, with guidance from their supervisory team, to ensure all required changes to the thesis are carried out the satisfaction of the examiners within the specified period. A checklist of what changes have been made and where, should be provided with the revised thesis.

Failure to address all the required changes to the thesis, within the agreed timescale, to the satisfaction of the examiners will normally result in failure of the award.

If there are exceptional circumstances that prevent a PGR from meeting the deadline, they should be made known to the PGRA at least one month prior to the due date. Such notification does not mean that an extension can be granted. The faculty DD(R) or nominee and independent chair consult, with the Doctoral College where appropriate, to determine appropriate action. The examiners will be asked to agree to any extension request before it is granted.

Following the resubmission of the thesis, the examiners would normally be expected to read and provide feedback within six weeks of receipt and complete the examination process as agreed at the original *viva voce* examination. The examiner(s) must confirm that the required changes have been carried out to their satisfaction by signing and returning the Certificate of Corrections to the PGRA, who will submit this on ProGRess to initiate conferment of the award. The examination reports will be reviewed and should be signed off by the DD(R) or nominee. The award will be ratified by the Doctoral College when all documentation has been received and an award letter issued once the final thesis has been submitted to the library.

Within one month of the examiners signing and returning the Certificate of Corrections, the PGR must submit their final thesis to the University, see Section 12.7. **No award will be ratified, or award letter issued, until this is complete.**

If the examiner(s) confirm that the required changes have not been carried out to their satisfaction, they may offer the PGR a further opportunity to address the required changes. Alternatively, they may seek advice from the independent chair and the DD(R) or nominee who will consult, with advice from the Doctoral College, to determine appropriate action.

12.4.3. Process for Resubmission and Re-Examination

Where the examiners recommend that the PGR resubmit, they must agree what changes are required and the timescale for re-submission and provide this in writing to the faculty. The PGR will receive written confirmation of the examiners' recommendations from the PGRA within 10 working days of the *viva voce* examination, including:

- full details of the changes to be made
- the deadline for completion of the re-submission
- how the examiner(s) will approve the resubmitted thesis:
  - if a further *viva voce* examination is required
  - if a further *viva voce* examination is not required
  - if the judgement on a further *viva voce* examination will be deferred until after resubmission of the thesis.

It is the PGR's responsibility, with guidance from their supervisory team, to ensure all required changes to the thesis are carried out the satisfaction of the examiners within the specified period. It is recommended that a summary of the changes (including page number and changes) is attached to the resubmitted thesis for the examiners.

If there are exceptional circumstances that prevent a PGR from meeting the deadline, they should be made known to the PGRA at least one month prior to the due date. Such notification does not mean that an extension can be granted. The faculty DD(R) or nominee and independent chair consult, with the Doctoral College where appropriate, to determine appropriate action. The examiners will be asked to agree to any extension request before it is granted.

Following the resubmission of the thesis, the examiners would normally be expected to read and provide feedback within six weeks of receipt and complete the examination process as agreed at the original *viva voce* examination.

In accordance with 6A Standards Assessment Regulations: Research Degrees, PGRs are only permitted **one re-examination only.** As such, the outcome of a re-examination (with or without *viva voce*) should be reported on the *Examiners' Joint Recommendations Form,* but the examiners may only recommend that:

- **the appropriate award be made**
- **the appropriate award be made subject to CORRECTIONS being made to the thesis**
- **the appropriate award be made subject to AMENDMENTS being made to the thesis**
- **the PGR be awarded the lower research degree of MPhil/MRes**
- **the PGR not be awarded the degree and not be permitted to be re-examined.**

Where the thesis has previously been examined, a second resubmission is **NOT** permitted.

The recommendations above must follow the guidance set out in Section 12.4.1 and the approval of any further changes should follow the process set out in Section 12.4.2.

Within one month of the examiner(s) signing and returning the Certificate of Corrections, the PGR must submit their final thesis to the University, see Section 12.7. **No award will be ratified, or award letter, issued until this is complete.**

12.5   ASSESSMENT OFFENCES

Where evidence of research misconduct in the preparation of the thesis, or other irregularities in the conduct of the examination, comes to light prior to or after the recommendation of the examination team, action will be taken in accordance with 6M Research Misconduct: Policy and Procedure and 6A Standard Assessment Regulations: Postgraduate Research Degrees.

Where Professional Doctorate awards contain taught credit-bearing units, 6H Academic Offences: Policy and Procedure for Taught Awards may also apply.

12.6   APPEALS AGAINST EXAMINERS' DECISIONS

A PGR who wishes to, has the right to appeal against the decision of the examining team and may do so in accordance with the 11C Academic Appeals: Policy and Procedure for Research Awards. The principal grounds for appeal include:

- a material irregularity or significant administrative error in the assessment process of such a nature as to cause doubt as to whether the result might have been different had there not been such irregularity
- evidence of bias, prejudice or improper assessment on the part of one or more of the examiners
- a PGR's performance in assessment has been affected by illness or other factors which they were unable to divulge before or during the meeting of the examining team
- arrangements for supervision did not meet those outlined in this CoP.

Disagreement with the academic judgement of the examiners assessing the merits of an individual piece of work or in reaching any decision based on the marks, grades and other information relating to a PGR's performance does not in itself constitute acceptable grounds for making an academic appeal.

If there is an appeal following the outcome of the *viva voce* examination, all paperwork relating to the examination will need to be submitted by the relevant parties to the Faculty Education Service Manager, together with statements from those present. For further information on appeals, please refer to the 11C Academic Appeals: Policy and Procedure for Research Awards.

12.7   SUBMISSION OF FINAL THESIS AND RESEARCH DATA

12.7.1. Final Thesis Submission

As stated in Section 12.4.2, **no award will be confirmed until the following have been submitted to the University,** which should take place within one month of examiner approval of corrections:

- one electronic copy, which will be submitted to the institutional repository, BURO and the British Library theses service, EThOS. Please note that any third-party material included within a thesis will be checked against copyright regulations before the thesis can be made available digitally. The relevant Faculty Library Team are able to advise on this and more information about using library resources, copyright, Open Access and submitting your thesis can be found on the PGR library guide: http://libguides.bournemouth.ac.uk/PGRsupport.
- a completed *Deposit of and Access to a Thesis* form, confirming the thesis has been deposited with the University Library and specifying whether or not access to the electronic version of the thesis is restricted for a limited two-year period and also whether any copyright restrictions apply.

These should be submitted directly to your Faculty Library Team, who will inform the Doctoral College that the submission is complete, and the award can be confirmed. They will also be able to advise on the requirements for storage of research data.

For submission of an integrated thesis please see the library's guidance here.

12.7.2. Research Data Submission

The Research Data Policy (see section 6.6) requires PGRs to deposit research data relating to their thesis in BORDaR (BU's research data repository), along with good accompanying documentation. This should be submitted to BORDaR once your thesis is ready to be submitted to your Faculty Library Team (see Section 12.7.1). The completed *Deposit of and Access to a Thesis* form must specify whether access to the research data should be restricted for a limited two-year period.

12.7.3. Electronic Storage of Final Thesis and Research Data

The electronic version of the thesis should be submitted via the BU Transfer Service, with the PGR name clearly included. It should include:

- a PDF version (for uploading to the BURO and EThOS)
- any supplementary data required for assessment. Datasets should be supported by good accompanying documentation which is appropriate to the subject discipline.

12.7.4. Restricted Access

In cases of confidentiality, and with the agreement of the faculty Executive Dean, the thesis may be held by the University on restricted access (available only to those who were directly involved in the project) for a period not exceeding 2 years from conferment (i.e., the date of the award letter). Restriction may be extended to a maximum of 5 years commencing from conferment (i.e., the date of the award letter). The restriction then lapses and cannot be renewed. BU Library is under no obligation to contact the PGR about extending the period of restriction.

However, in exceptional circumstances a longer period may be approved. The University is only likely to approve restricted access to enable a patent application to be lodged or to protect commercially or politically sensitive material. Theses may not be protected in this way to protect research leads or publishing of the content elsewhere.

Any requests for restricted access should be made on the *Deposit of and Access to a Thesis* form at the time of submission to the University Library.

12.8   RATIFICATION OF THE AWARD

On achievement of the standards required for an award, the examination team recommend the award, in line with the assessment regulations, to the University. The award is ratified by the Doctoral College, reported to the University's Research Degree Committee, and confirmed in a formal award letter from the Heads of the Doctoral College on behalf of the University.

No award will be confirmed until the PGR has submitted the final electronic copy of their thesis to the University Library, which should take place within one month of confirmation of approval of corrections or amendments by Examiners.

PGRs' staff accounts will be closed 10 working days after the award is ratified. PGRs should use this time to ensure they save any information and inform key contacts of their new correspondence details.

12.9   GRADUATION

Graduation is the final process of conferment of the award of the University. PGRs will receive an invitation to attend the Graduation Ceremony in the year after their award has been ratified and they have received their award letter. Communication regarding graduation will be via the PGR's student email.

If the PGR does not wish to attend the ceremony, they should register to graduate *in absentia* and their certificate will be issued after the ceremonies. In exceptional circumstances, the PGR may either request to:

- receive their Certificate prior to graduation

or

- defer to the following year's Graduation Ceremony at which they will receive their certificate.

It is the PGR's responsibility to ensure all contact details are correct in order to receive Award Ceremony information. It is also the PGR's responsibility to order the correct gown and hat to wear during the Ceremony. Further details regarding graduation can be found on BU's Graduation Ceremonies webpage.

13 THESIS PRESENTATION

This section is designed to assist PGRs in the preparation of their thesis in accordance with the University rules. The following requirements must be adhered to in the format of the final thesis. They are not intended to be an exhaustive specification.

13.1 THESIS FORMAT AND PRESENTATION FOR EXAMINATION

Theses will normally be submitted electronically. If a hard copy is required, guidance should be sought from the PGRAs regarding the format and the number of copies required.

13.1.1. Word Limits

The text of the thesis should not exceed the word lengths set out below. The word limits include in text citations and footnotes but exclude ancillary data (which should be included in the appendices), references and bibliography.

		Word Limits for Research Degree Thesis		
		MRes	**MPhil**	**PhD and EngD**
Traditional Research Degree Thesis (chapter based)	STEM [3] based	15,000 words (approx. 75 pages)	20,000 words (approx. 100 pages)	40,000 words (approx. 200 pages)
	SSH[4] based	30,000 words (approx. 150 pages)	40,000 words (approx. 200 pages)	80,000 words (approx. 400 pages)
Research Degree Integrated Thesis (see Section 10.9)	STEM based	15,000 words (approx. 75 pages)	20,000 words (approx. 100 pages)	40,000 words (approx. 200 pages)
	SSH based	30,000 words (approx. 150 pages)	40,000 words (approx. 200 pages)	80,000 words (approx. 400 pages)
Practice-led Research Degree Thesis [5] (see Section 10.10)	-	10,000 to 20,000 words or the equivalent	15,000 to 30,000 words or the equivalent	20,000 to 40,000 words or the equivalent
Professional Doctorates[6], including the Ed D	-	-	-	60,000 - 80,000 words (approx. 400 pages)
PhD by Publication	-	-	-	Synthesis of 15,000 – 20,000 words plus relevant publications

PGRs within Law **only** are excluded from the above word limits, recognising that the referencing used in the discipline adds considerable extra words. For Law PGRs **only**, the body of the PhD thesis and the footnotes must not exceed a maximum total of 95,000 words. For an MPhil thesis, the thesis and the footnotes must not exceed a maximum total of 47,000 words and for an MRes thesis, the thesis and the footnotes must not exceed a maximum total of 35,000 words. This limit of 95,000 words excludes ancillary data, which should be included in the appendices.

13.1.2. Language of the Thesis

The thesis must be presented in English, except with specific permission from BU. Permission to present a thesis in another language must normally be sought at the time of application to enrol and is only likely to be given if the subject matter of the thesis involves language and related studies.

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[3] STEM – Science Technology, Engineering and Maths

[4] SSH – Social Sciences & Humanities

[5] where the thesis is accompanied by a practical element, the exegesis must be of an appropriate proportion of the submission and would normally be no less than 20,000 words or the equivalent.

[6] 80,000 words should be the maximum limit for the total assessed work in the doctoral programme. This will either comprise a single thesis or include the thesis and other assessments.

13.1.3. Recommended Sequence

In a single-volume thesis, material should normally be arranged in the following sequence:

Section	Details
Title and subtitle	The title page (of every volume) shall give the following information: • the full title of the thesis and any subtitle • the total number of volumes, if more than one, and the number of the volume • the full name of the author • the award for which the degree is submitted in partial fulfilment of its requirements • that the degree is awarded by BU • the name of the Collaborating Establishment if any • the month and year of submission. The title should describe the content of the thesis accurately and concisely. If necessary, a subtitle should be added to provide greater detail. The month and year of submission which shall be updated on each occasion on which the thesis is submitted. i.e., where corrections or amendments have been made the year of submission shall be the original year of submission and where a re-submission is required this shall be the year of re-submission.
Copyright Statement	The following statement should be placed on a single page on the first page of the thesis: "*This copy of the thesis has been supplied on condition that anyone who consults it is understood to recognise that its copyright rests with its author and due acknowledgement must always be made of the use of any material contained in, or derived from, this thesis.*"
Abstract	The abstract should follow the title page. It should be approximately 300 words and should give 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. It should appear on its own as a single page and should be headed by the author's full name and the title of the thesis.
List of Contents	The list of contents should follow the abstract. It should give, in sequence, with page numbers, all relevant subdivisions of the thesis including the following: • the title of chapters, sections and sub-sections • the list of references • the bibliography if present • the list of abbreviations and other functional parts of the whole thesis • appendices, if present • the index if present If a thesis comprises more than one volume, the contents of the whole thesis should be shown in the first volume and each subsequent volume should have its own separate list of contents.
List of Tables, Illustrations, etc.	The lists of illustrations and tables should follow the list of contents. Illustrations should be numbered consecutively in a single sequence, generally without distinguishing between different kinds of illustration, e.g., maps, drawings and graphs. In the text, reference to illustrations should take the form 'see Figure 20' or '(Figure 20)' and should appear near to the first reference made to them in the text. Tables within the text should be numbered in a single sequence, separate from illustrations. Tables that were not designed by the author but are reproduced in the thesis should be numbered and treated as illustrations. Tables in an Appendix should have a separate sequence. If there is more than one sequence of Tables, the different sequences should be identified, e.g., by using a numeral followed by a hyphen as a prefix, 'Table 3-15'. In the text, reference to Tables should take the form 'see Table 15' or '(Table 15)'.
List of accompanying material	Include if required
Preface / Acknowledgement	The preface should precede the acknowledgement if both are included separately. The preface or acknowledgement should include reasons for undertaking the study as well as acknowledgement of assistance, for example, support such as scholarships and grants, consultations and discussions with supervisory team and colleagues. If there is no preface, the acknowledgement should have its own heading.
Author's declaration	The author should draw attention to any material contained in the thesis that has been presented before. If the thesis is based on joint research, the nature and extent of the author's individual

	contribution should be stated. The declaration should follow the acknowledgement, under a separate heading.
Definitions	-
Text	The text should be divided into chapters, sections, etc. Formatting guidelines are outlined below.
References	The list of references is confined to sources cited in the text and is an essential part to a thesis. References must be completed and cited, **normally,** using the BU Harvard style or an appropriate and recognised style used in and relevant to the specific discipline. View the full BU Guide to Referencing and Citation in the Harvard Style on the Library web pages (https://www1.bournemouth.ac.uk/discover/library/using-library/how-guides/how-cite-references) The BU Harvard style is available for use in the reference management tool, EndNote for which BU has an institutional subscription. Each entry should begin at the left-hand margin using single spacing but with double spaces between each entry. Any queries on referencing should be directed to your Faculty Library Team.
Bibliography	The bibliography, if any, should follow the list of references and be in the same format. The bibliography lists, in full, the relevant works that have been read or consulted during the research but will not necessarily be an exhaustive list of all materials relevant to it.
Appendices	Appendices may consist of material of considerable length or of lists, documents, commentaries, tables or other evidence that, if included in the main text, would interrupt its flow. Presentation including font size should be consistent with the style of the main text. Each Appendix should start on a separate page and should appear in the order that they are referred to in the text, citing wherever possible and appropriate, the source of material from which the Appendix is derived.
Glossary	Any glossary should follow the text and appendices. Terms that require explanation should be defined in a glossary, which should include a key to any abbreviations used. For an abbreviation not in common use, the term should be given in full at the first instance followed by the abbreviation in brackets.

13.1.4. Thesis Format

In all theses the text should be formatted as follows:

Section	Details
Body of text	Theses are normally in A4 format, but the Doctoral College may give permission for a thesis to be submitted in another format where it is satisfied that the contents of the thesis can be better expressed in that format. Any format larger than A4 may preclude the production full-size enlargements.
Margins	If being printed for binding, the margin on the binding edge of the paper should be not less than 40 mm and 20mm on all other edges. When printing double sided, mirror margins should be used with 40mm on the inside margin and 20mm on all other edges.
Character size, line length and spacing	The font size should not be less than 10 point, with Arial, or similar formal font, being the preferred font. If smaller fonts are used in notes, etc., care should be taken to avoid serious loss of legibility when copies are made. Text should be right and left justified - with even spacing between words and word division at the ends of lines avoided if possible. In the main text, one and a half line spacing is recommended, although double spacing may be used. In notes, the space between lines at any point should be not less than the space between words. Lines that contain mathematical formulae, diacritical marks or strings of capital letters may need additional space.
Paragraphs	Paragraphs should be set in one of the following ways: flush left with an additional line space between paragraphs, e.g., in one and a half line spacing, three-line spaces between paragraphs (to be used if paragraphs are numbered) indented 5 mm to 10 mm with no additional space between paragraphs; opening paragraphs and those that follow headings are not indented.

Quotations	If the quote is less than a line, it may be included in the body of the text in double quotation marks. Longer quotations should be indented, single-spaced and appear in double quotation marks.
Numbering	The pages of the thesis should be numbered in a single sequence beginning with the title page, which should be counted but not numbered and including pages that carry tables, illustrations, appendices, etc. Chapters should be numbered from the start to the finish of the thesis, continuing across volumes if necessary. Appendices should be numbered in a separate sequence from that used for chapters. Additional material, e.g., frames of a film, should be numbered in a manner appropriate.
Figures	Illustrations should be numbered consecutively in a single sequence, generally without distinguishing between different kinds of illustration, e.g., maps, drawings and graphs. Images should be checked carefully for copyright compliance using the Library's guidance.
Tables	If there are relatively few tables, each should appear as near as possible to the first reference to it in the text. If there are frequent references to tables, or if there are many tables, they may be collected at the end of the text, possibly as an appendix. Each table should, if possible, appear complete on one page but should not be spaced out to fill the available space nor reduced to fit a small space. They should normally be in the same orientation as the main text. If a table is too wide for the page, the row and column information could be transposed, or a large table presented as several smaller ones. The presentation of a series of tables should be consistent. Each table should have a number and title, which should appear above the table e.g., "Table 4. Influence of legislation on motoring offences." The order of rows and columns should be selected to clarify the content and should have a label or heading. Row labels should be repeated on the right of the table if that is helpful. Numeric tables may include summary values, e.g., in the bottom row for columns or right-hand for rows. The character size used in tables should be large enough to allow the table to be reproduced without risk to legibility. Tables consisting largely of numerals sometimes require a larger character size than the main text.
Mathematical symbols	PGRs should check in advance the software they are using can produce any special symbols.
Collaboration	Where a PGR's research programme is part of a collaborative group project, the thesis must indicate clearly the PGRs individual contribution and the extent of the collaboration.

13.2 PRESENTATION OF THE FINAL ELECTRONIC THESIS

The first supervisor must confirm the contents of the electronic thesis are identical with the version submitted for examination, except where amendments have been made to meet the requirements of the examiners. Where corrections or amendments have been made the year of submission shall be the original year of submission and where a re-submission is required this shall be the year of re-submission.

14 APPENDICES

14.1 APPENDIX 1: EMPLOYMENT OF PGRS FOR TEACHING OR DEMONSTRATING DUTIES: GUIDELINES

BU
Bournemouth
University

Owner:	The Doctoral College
Effective date:	July 2011

Employment of Postgraduate Researchers (PGRs) for Teaching or Demonstrating Duties - Guidelines

1   SCOPE AND PURPOSE

1.1   These guidelines are for use by BU academic staff and postgraduate research students (PGRs).

1.2   The guidelines are to be used in relation to the employment of all PGRs for teaching or demonstrating duties. They seek to establish good practice for the recruitment, appointment, training and monitoring of PGRs in teaching or related activities.

1.3   Employment in teaching or demonstrating provides excellent opportunities for PGRs to gain valuable academic and technical experience and develop their transferable skills. It also ensures that cutting edge research informs teaching and provides an opportunity for PGRs to share their specialist knowledge. Research Councils and the National Postgraduate Committee recommend teaching experience for PGRs provided that it is subject to reasonable limits on workload.

1.4   BU recognises that it carries a duty towards PGRs to ensure successful and timely completion of their research degree, and certainly within the maximum period allowed. BU also recognises that it has a duty towards the UG and PG taught students being taught to ensure that a high standard of teaching and learning is maintained.

2   LINKS TO OTHER BU DOCUMENTS

2.1   The policies, procedures and regulations for all research degree activity are set out in the BU *Code of Practice for Research Degrees* (CoP).

3   REFERENCES AND FURTHER INFORMATION

3.1   These guidelines have been compiled by the Doctoral College in consultation with Faculties, Academic Quality (AQ) and Academic Standards & Education Committee (ASEC). It also draws upon similar arrangements in place at other UK HEIs.

3.2   Further information about the employment of PGRs in teaching and demonstrating duties in relation to their programme of research can be found in the CoP.

3.3   PGRs engaged in teaching activities are required to operate in accordance with the relevant University policies and procedures including the appropriate:
  i)   Academic policies and regulations
  ii)   Assessment regulations.

3.4   They should also be referred to the following relating to their teaching duties on each course or module:
  i)   the course documentation
  ii)   any specific module details
  iii)   administrative requirements and procedures
  iv)   any health and safety requirements.

3.5   In relation to the employment, they should also be made aware of the Terms and Conditions of part-time hourly paid academic staff.

4   MANAGEMENT OF PGRS

4.1   To ensure coherency and consistency in the employment of PGRs and implementation of good practice outlined in these guidance notes, each faculty should have a nominated person with responsibility for overseeing PGR teaching activity.

4.2   They will be responsible for the:

      i)   oversight and management of the recruitment, training and monitoring of PGRs
      ii)   allocation of their teaching duties
      iii)   allocation of experienced mentors
      iv)   monitoring of their suitability to teach and identification of further training needs.

4.3   This oversight within Faculties will improve the ability to monitor and regulate PGR teaching activity, and ensure appropriate consistency in practice across BU.

5   RECRUITMENT AND APPOINTMENT

5.1   These guidelines cover the employment of full-time PGRs, and it applies only to those individuals whose primary relationship with the University is as a postgraduate research student. The University is committed to a policy of equal opportunity with respect to employment, and this applies to the recruitment and appointment of PGRs for teaching activities.

5.2   Processes adopted by Faculties for the appointment of teaching activities must be transparent, impartial and readily available to PGRs. PGRs who wish to be considered for teaching opportunities shall be recruited by a selection process which shall normally include an interview.

5.3   Opportunities to undertake teaching activities must be distributed fairly with regard to the qualifications, experience and ability of everyone. However the principal issue is to maintain a high quality of teaching or demonstrating to the receiving PGT and UG students.

5.4   The scope for such opportunities varies between Faculties and PGRs should not presume that teaching activities opportunities will always be available. All eligible PGRs should be given an opportunity to express their interest in undertaking such activities, which should be on a voluntary basis, and PGRs should not feel pressurised into taking unwanted commitments.

6   TRAINING

6.1   BU requires that all PGRs, who undertake teaching and or assessment activities, receive training and guidance on their responsibilities, prior to commencing teaching or assessing.

6.2   As such, all PGRs are required to successfully complete the entire Introduction to Education Practice for Postgraduate Researchers course, run centrally by the Centre for Fusion Learning Innovation and Excellence (FLIE). The course provides participants with knowledge of how students learn, assessment issues, planning learning and the role of technology, which should be applied to proposed teaching activities.

6.3   However, PGRs would not be expected to undertake the full PG Cert Education Practice until they have at least submitted or completed their Doctorate.

6.4   In addition, Faculties will be required to provide PGRs with any additional subject specific training required to carry out teaching duties.

6.5   Where not already the case, Faculties should formalise induction support to PGRs and include them in their peer observation and mentoring schemes. All PGRs are required to undergo observation by the mentor or nominated teaching coordinator (see Section 4) at least twice a year, preferably in different kinds of teaching activities. This will help ensure that they all are provided with support opportunities to help them undertake their roles throughout their employment. In addition, regular monitoring would enable appropriate action to be taken should any concerns with the quality of their teaching / demonstrating be raised by colleagues or students.

6.6   However, it is recommended the first period of teaching will be regarded as a probationary period. Where a PGR's teaching performance proves less than satisfactory during this initial period, which, in the judgment of their mentor, cannot be improved upon by further training, the PGR will not be allocated any further teaching activities.

7 TEACHING DUTIES

7.1 It is the responsibility of Faculties, through their Deans, Deputy Deans and programme leaders, to provide clear and comprehensive information to enable PGRs to carry out their responsibilities successfully. This may include information about:

    i)   the course taught and any specific module, administrative or health and safety requirements

    ii)   office hours

    iii)   preparation and marking time

    iv)   moderation of marking

    v)   information about the responsibilities of academic and support staff at the same level (e.g., access to staff IT facilities)

    vi)   support from experienced academic staff in the delivery of teaching, including engagement with UG students (and its associated responsibilities).

7.2 Furthermore, there should be limitations to the responsibilities allocated to PGRs:

    i)   PGRs may assist in the delivery of modules but shall not be given responsibility for the organisation or management of any module or its assessment

    ii)   PGRs should NOT simply be given a title of a lecture or seminar or series of lectures / seminars and be expected to prepare the material from scratch. For each class the PGR is teaching, it is the responsibility of the unit leader to provide them with the basic content required, which they may then modify or add to as appropriate

    iii)   Any marking or other formal assessments undertaken by the PGR should be monitored by an experienced member of staff

    iv)   PGRs should not be appointed members of formal Examining Boards.

7.3 Finally, Faculties should remember the PGRs' involvement in any aspects of the management or decision-making processes within a faculty relates to their status as Postgraduate research students. They are not to be regarded as part-time members of staff.

8 HOURS OF WORK

8.1 In line with Research Council guidelines, full-time PGRs are limited to working 6 hours per week (including preparation, class contact and marking).

8.2 It is understood that in certain circumstances, a flexible approach, based on the principle of an average of 6 hours per week, may need to be taken. However, any hours of work must be agreed with the supervisory team before being undertaken. The situation must also be closely monitored to ensure it has no adverse effect on the PGR's research.

8.3 PGRs should also note that some sponsoring bodies may impose a lower limit for paid activities and PGRs will be required to observe the limits imposed by their funders.

8.4 In addition, some PGRs may be subject to student visa requirements before engaging with teaching activities – any queries related to student visa issues should be directed to askBU.

9 REMUNERATION

9.1 PGRs employed by Faculties must be paid the appropriate rate - the University has approved rates of pay for part-time hourly paid staff.

9.2 PGRs undertaking teaching activities should be provided with a clear statement of the activities for which they will be employed and the rate of remuneration, with which they will be requested to agree, prior to commencing those activities.

14.2 APPENDIX 2: GUIDANCE FOR SUPERVISORS & EXAMINERS OF PGRs WITH DISABILITIES

	Owner: Doctoral College/Head of Additional Learning and Disability Support
	Effective Date: September 2018
	Review Date: June 2022

GUIDANCE FOR SUPERVISORS & EXAMINERS OF PGRS WITH DISABILITIES

1. SCOPE AND PURPOSE

1.1 This guidance document is for BU (BU) supervisors and examiners of Postgraduate Research students (PGRs) with disabilities. It is also appropriate for Postgraduate Research Administrators (PGRAs).

1.2 This guidance relates to all PGRs including members of BU staff undertaking a research degree at BU who have a declared diagnosed disability, described in the Equality Act 2010 Section 6 as a physical or neurological impairment that has a substantial and long-term impact on daily working, studying or activities. NB All diagnosed disabilities must be evidenced either by an Educational Psychologist, Consultant Medical Practitioner or Psychiatrist. When prospective or current PGRs register with ALS, any evidence presented will be scrutinised to ensure it is appropriate. However, it should be noted that it is the impact of a condition on learning and assessment for which reasonable adjustments are given.

1.3 The guidance summarises the collective responsibilities of BU supervisors and PGRAs in supporting PGRs with a disability. It is intended to support the supervisors in their discussions with PGRs when considering specific adjustments to the research process throughout the research degree journey.

1.4 It is also intended to provide guidance for examiners or chairs when considering adjustments to the assessment of a thesis and *viva voce* examination.

1.5 The term 'disabled' is an umbrella term and includes sensory, physical or medical impairments, specific learning differences, autistic spectrum conditions and mental health difficulties. Temporary injury, temporary incapacity and pregnancy are also included in this document as BU has a legal duty to support staff and students with temporary conditions as well as permanent ones. Temporary conditions are not usually considered as disabilities; however, it is still important that the impact of a temporary condition is considered.

Under the Equality Act 2010, BU has a legal duty to offer reasonable adjustments to disabled staff, students and visitors who work, study or are visiting any University premises. Please note: the Equality Act does not require that adjustments be made that would compromise academic standards and appropriate core competencies. Reasonable adjustments enable a PGR student with disabilities to participate in research training on the same basis as a PGR student without a disability. The underlying philosophy is inclusion; adjustments should level the playing field so that PGR students with a disability are included. However, too many adjustments can lead to an exclusive practice, which is not inclusive for PGR students without a disability and offers an unfair advantage. Adjustments should be mutually agreed through discussion with individual PGR students, who are the best people to know about and explain the impacts of their disability.

1.6 Adjustments can be considered reasonable if they are based on the following:

- Documented evidence
- The most integrated experience possible
- Not compromising the essential academic requirements
- Not posing a threat to personal or public safety
- Not imposing an undue financial or administrative burden

1.7 Core competences of a qualification, as relevant to the research degree programme, do not require adjustments, however, the assessment of them does. Supervisors and PGRAs need to be aware that where BU does not comply with the duty to make reasonable adjustments, it will be committing an act of unlawful discrimination. A PGR with a disability may have grounds for litigation based on this.

1.8 General adjustments will remove barriers for all PGR students with a disability and may even support PGR students without a disability. In supporting BU2025, embedding these routinely as inclusive practices will eliminate the need for further considerations. There will always be additional individual adjustments that are appropriate for specific disabilities and the Equality Act 2010 makes a provision to positively discriminate against those who are not disabled in certain circumstances.

1.9 This document provides information for the supervisors, PGRAs and examiners to:

- Raise awareness of the disclosure process
- Signpost to appropriate information to assist in supporting PGRs
- Assist in correctly advising PGRs who require reasonable adjustments to successfully undertake their research degree
- Provide guidance for reasonable adjustments during the examination process

2. KEY RESPONSIBILITIES

2.1 **Additional Learning Support (ALS)** is responsible for working with PGRs and supervisors to verify evidence of a disability and advise on reasonable adjustments. ALS may:

- provide screening, referral for assessment
- be responsible for providing DSA allocated, appropriate 1:1 study support or mentoring that is non-subject specific. The provision is disability-specific and is provided by well-qualified, experienced teachers who are cognisant of the academic skills required at Doctoral level
- provide non-subject specific, disability-based learning support and advise on potential funding.

2.2 **Postgraduate Researchers (PGRs)** are individually responsible for ensuring that disclosure is made. There is no legal requirement to disclose a disability but **if no disclosure is made then adjustments cannot be considered**. PGRs with a disability and who do not disclose are putting themselves at considerable disadvantage.

2.3 **Supervisors** should discuss any issues with the PGR and signpost the PGRs to ALS if they are not already registered. When a PGR makes a disclosure, either pre- or post-enrolment, supervisors are required to discuss any adjustments, identified with ALS, with the PGR in regard to the reasonableness of them for learning and assessment throughout the research degree journey.

Supervisors are also responsible for:

- reviewing the proposed research project to ensure total transparency about the requirements of the research. The PGR must fully understand the need to fulfil the academic requirements of their area of study regardless of any disability
- leading discussions with the PGR to consider reasonable adjustments to the research training throughout the research degree journey so that appropriate support can be mutually agreed
- ensuring that the PGR is fully aware of the requirements of the processes for each of the key progression milestones, as set out in *Code of Practice for Research Degrees*, towards the final *viva voce* examination
- providing adjustments which should include planning ahead and taking a strategic approach to addressing any barriers that could potentially impede progression
- signposting the PGR to the Student Support and Engagement Co-ordinators based in each faculty who can support the PGR if they have wellbeing issues. Student Wellbeing can also be a useful point of contact for any external mental health services provided by Dorset Healthcare Trust
- attending relevant training to ensure their knowledge and understanding of issues facing PGRs with a disability is current
- contacting ALS for additional advice if required.

Supervisors should also consider any presentations that the PGR is likely to make and to agree any appropriate actions, on a case-by-case basis. These adjustments will be different per PGR as they are individualised. Agreements from these discussions should be formally recorded via the Student Adjustment Information (SAI) and the following carried out:

- signpost to ALS support, if not already being accessed

- signpost to ALS for funding information: Disabled Students' Allowances or Access to Work
- signpost to Student Wellbeing, if appropriate
- signpost to the Faculty Student Support and Engagement Co-ordinator if appropriate
- seek advice from ALS on the physical environment, resources, assistive technology or personal emergency evacuation plan - PEEP
- if there is an ALS Mentor supporting a complex sensory or physically impaired PGR, ensure they are part of any discussions on adjustments so that all agreements are transparent and clarified from the beginning and if appropriate, the Mentor can translate or otherwise ensure the PGR understands completely.

2.4 **Postgraduate Research Administrators (PGRAs)** are responsible for disseminating information from ALS about the PGR's disability and impacts. This information will be online via SITS. PGRAs are responsible for informing the relevant examining team about any agreed adjustments and the impacts of a disclosed disability which may include an overview of any anticipated behaviours that could occur during the *viva voce* examination. ALS staff can be brought into these discussions if required.

2.5 **Examiners, faculty panels & independent chairs** are responsible for considering the individual disability impact when independently assessing a thesis and when conducting a *viva voce* examination. As such they will:

- receive guidance on the reasonable adjustments required for an individual PGR, in good time, so that they have the opportunity to raise any concerns or clarifications
- attend any relevant disability awareness training to ensure their knowledge and understanding of issues facing disabled PGRs is current
- familiarise themselves with the recommended general and specific adjustments that would fulfil legal duties on supporting students with disabilities
- contact ALS for additional advice if required.

2.6 **The Doctoral College** is responsible for working collaboratively with ALS to ensure that the guidance in this document remains current with respect to the appropriate legislation.

3. DISCLOSURE

3.1 Supervisors and PGRAs should be aware of the disclosure process and be able to advise PGRs who require reasonable adjustments to undertake their research degrees.

3.2 PGRs would normally make a disclosure as part of the application procedures and adjustments can be explored as part of the interview process. However, in some circumstances, a PGR may receive a diagnosis after enrolment, in which case adjustments would need to be explored at this point.

3.3 Registering with ALS would constitute disclosure. The ALS registration process will inform the PGRAs in the first instance who should then disseminate to the relevant staff so that discussions on adjustments can begin straight away.

4. REASONABLE ADJUSTMENTS
4.1 General Adjustments
These will help to remove barriers and if embedded in routine practice will eliminate the need to specially request them. As mentioned in 1.8 above, general adjustments will remove barriers for all PGRs with a disability and may even support PGRs without a disability. In supporting BU2025, embedding these routinely as inclusive practices will eliminate the need for further consideration:
- Ensure the examination takes place in an accessible building with level access, automatic doors, available accessible toilet facilities and that the sensory impact of the room is minimal (in terms of hearing, lighting and noise distractions)
- Ensure that the schedule for the day is clear and written instructions as to how the *viva voce* examination will be conducted are provided in a timely way to allow PGRs sufficient time to prepare
- Give advance notification of, and access to, the venue so that PGRs can familiarise themselves with the route and the environment
- Provide the PGR with the opportunity to prepare for the *viva voce* examination. This may include:
    o Provision of general areas for questioning
    o Mock *viva voce examination*

- o Discussion of requirements in terms of access
- o Provide all written information in an accessible format
- Clearly explain the procedure and method of the examination at the start of the *viva voce* examination and provide this in written format
- Allow the PGR to take in written notes and a copy of the thesis, and to jot down notes to refer to as necessary or colour-tab the thesis in appropriate places
- Provide flip charts and other materials to enable a PGR to explain ideas visually in writing or diagrammatically when verbal explanations become challenging
- Present one question at a time avoiding multi-faceted questions, and be prepared to re-phrase questions if the PGR appears to have misunderstood
- Allow PGRs brief pauses to compose answers
- Monitor fatigue and schedule breaks as necessary
- Avoid changes to the schedule or change of venue. If unavoidable, provide as much notice as possible
- Allow extra time to read and assimilate any new material, collect thoughts, compose answers and locate details in a section of the thesis. Reassure the PGR that this is acceptable
- Structure questions into shorter sections, repeating and rephrasing if necessary. Allow intermediate responses
- Allow the use of a digital recorder for the part of the *viva voce* examination where corrections are discussed to ensure accuracy for any subsequent actions that need to be taken
- Provide a clear written summary in the examiner's report of any formal feedback, corrections required and actions to take
- Consider the risk of an emergency and whether a personal emergency evacuation plan (PEEP) would be required.
- On the day of the *viva voce* examination, PGRAs should check all arrangements with the PGRs to ensure that they have everything required

4.2 PGRs with autistic spectrum conditions (AS)

- Provide an opportunity to meet with the examiner beforehand, possibly online if this is more convenient, as there could be extreme anxieties about meeting new people. It should be made clear that this would not be part of the examination and the conversation would not address academic matters but be limited to an introduction to the examiner and the likely conduct of the *viva voce* examination
- The supervisor could provide a more detailed explanation of the process and structure of a *viva voce* examination in advance, particularly in terms of any social conventions. PGRs with AS may find it helpful to rehearse greetings, or requests for clarification of a question etc. depending on the level of their social anxieties. This is an adjustment for which ALS autism specialists can help
- Ask examiners to avoid the use of metaphorical and idiomatic language and to be prepared to re-phrase or ask questions in more explicit concrete terms if the PGR appears not to understand. For example, if the question is asked: 'Would you like to look at….?' This will be taken literally and may elicit the response, 'No'. A better way would be to state explicitly: 'Look at the section on….'
- Ensure examiners are aware of the potential for unusual behaviour and social communication challenges
- Sometimes, short breaks are advisable for PGRs with extremely high anxieties that can manifest physically.

4.3 PGRs with Hearing Impairment

- Ensure the examiners follow the appropriate communication guidelines
- Facilitate the PGR's use of communication aids: infra-red or loop systems installed in the room or portable technology or a British Sign Language (BSL) interpreter
- Ensure in advance that any BU Hearing equipment is available and fully operational
- If required, ensure the examiner wears or uses a microphone and instruct on its use if necessary.

4.4 PGRs with Medical Conditions e.g., Cerebral Palsy, ME, Cancer, Cystic Fibrosis

- Ensure consideration is given to scheduling for either a morning or afternoon start according to any symptoms or side effects of any medication that may be worse at a particular time of day
- Allow for the PGR to bring in any food, drink, medication or equipment that helps them to manage their condition
- Where appropriate, and depending on the severity of the medical condition, consider dividing the *viva voce* examination over more than one day to accommodate the impact of extreme fatigue or chronic pain, allow for extended breaks, as required.

4.5 **PGRs with Mental Health Conditions e.g., Bi-polar Disorder (BPD), Schizophrenia, extreme post-traumatic stress disorder (PTSD), anxiety disorder**

- Be aware of the potential for more severe anxiety than would typically be expected. Adopt a calm, understanding approach and suggest short breaks if necessary
- Ensure consideration is given to scheduling for either a morning or afternoon start according to any symptoms or side effects of any medication that may be worse at a particular time of day
- Depending on the severity and impact of the mental health condition, give permission for an appropriate person to attend in a supportive capacity. It should be made clear that this person is not permitted to participate in the *viva voce* examination by, for example, interpreting the examiner's questions for the PGR.

4.6 **PGRs with Physical or Mobility Impairments or wheelchair users with medical conditions**

- Ensure the examination takes place in an accessible building with level access, automatic doors, available accessible toilet facilities and that the sensory impact of the room is minimal (in terms of hearing, lighting and noise distractions)
- Allow the PGR to stand or move around as required if they are managing pain
- Allow the PGR to use their ergonomic chair if necessary
- Permit a personal carer or ALS Mentor to attend. It should be made clear that this person is not permitted to participate in the *viva voce* examination by, for example, interpreting the examiner's questions for the PGR
- Schedule frequent or extended rest breaks according to the impact of the impairment.

4.7 **PGRs with Specific Learning Differences (SpLD including dyslexia, dyspraxia, ADD, OCD)**

- Allow the PGR to clarify what is being asked at any time to ensure they have understood the question
- Ask examiners to avoid the use of metaphorical and idiomatic language and to be prepared to re-phrase or ask questions in more explicit concrete terms
- Ask examiners to keep questions simply constructed with no double negatives or multiple parts
- If the PGR is having difficulty interpreting what is being asked or expressing their knowledge falteringly, the examiner should re-direct or re-phrase a question or prompt the PGR to recover and get back on track
- Allow the PGR to use their previously colour-tabbed thesis at appropriate places as prompts to assist in answering questions.

4.8 **PGRs with a Visual Impairment either partially sighted or blind**

- Ensure the examiners follow the appropriate communication guidelines
- The PGR may need to use assistive technology for reading, writing and note taking if required. The PGR will have this, and the Doctoral College does not have to provide it.
- Provide written information in an accessible format that the PGR will have already established as appropriate for their needs
- The PGR may require a sighted guide or a registered assistance dog. It should be made clear that the guide is not permitted to participate in the *viva voce* examination by, for example, interpreting the examiner's questions for the PGR

5. **REFERENCES AND FURTHER INFORMATION**

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- PhD Study with a Disability, Chronic Illness or Learning Difficulty https://www.findaphd.com/advice/doing/phd-with-disability.aspx

14.3 APPENDIX 3: MASTER'S DEGREE LEVEL DESCRIPTORS

Extract from QAA *UK Quality Code for Higher Education Part A Setting and Maintaining Academic Standards* October 2014

Descriptor for a higher education qualification at level 7 on the FHEQ and SCQF level 11 on the FQHEIS: Master's Degree

The descriptor provided for this level of the frameworks is for any Master's degree which should meet the descriptor in full. This qualification descriptor should also be used as a reference point for other qualifications at level 7/ SCQF level 11 on the FQHEIS, including postgraduate certificates and postgraduate diplomas.

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

- a systematic understanding of knowledge, and a critical awareness of current problems and/or new insights, much of which is at, or informed by, the forefront of their academic discipline, field of study or area of professional practice

- a comprehensive understanding of techniques applicable to their own research or advanced scholarship

- originality in the application of knowledge, together with a practical understanding of how established techniques of research and enquiry are used to create and interpret knowledge in the discipline

- conceptual understanding that enables the student:

  - to evaluate critically current research and advanced scholarship in the discipline

  - to evaluate methodologies and develop critiques of them and, where appropriate, to propose new hypotheses.

Typically, holders of the qualification will be able to:

- deal with complex issues both systematically and creatively, make sound judgements in the absence of complete data, and communicate their conclusions clearly to specialist and non-specialist audiences

- demonstrate self-direction and originality in tackling and solving problems, and act autonomously in planning and implementing tasks at a professional or equivalent level

- continue to advance their knowledge and understanding, and to develop new skills to a high level.

And holders will have:

- the qualities and transferable skills necessary for employment requiring:

- the exercise of initiative and personal responsibility

- decision-making in complex and unpredictable situations

- the independent learning ability required for continuing professional development.

14.4 APPENDIX 4: DOCTORAL DEGREE LEVEL DESCRIPTORS

Extract from QAA *UK Quality Code for Higher Education Part A Setting and Maintaining Academic Standards*
October 2014

Descriptor for a higher education qualification at level 8 on the FHEQ and SCQF level 12 on the FQHEIS: Doctoral Degree

The descriptor provided for this level of the frameworks is for any doctoral degree which should meet the descriptor in full. This qualification descriptor should also be used as a reference point for other level 8/level 12 qualifications.

Doctoral degrees are awarded to students who have demonstrated:

- the creation and interpretation of new knowledge, through original research or other advanced scholarship, of a quality to satisfy peer review, extend the forefront of the discipline, and merit publication

- a systematic acquisition and understanding of a substantial body of knowledge which is at the forefront of an academic discipline or area of professional practice

- the general ability to conceptualise, design and implement a project for the generation of new knowledge, applications or understanding at the forefront of the discipline, and to adjust the project design in the light of unforeseen problems

- a detailed understanding of applicable techniques for research and advanced academic enquiry.

Typically, holders of the qualification will be able to:

- make informed judgements on complex issues in specialist fields, often in the absence of complete data, and be able to communicate their ideas and conclusions clearly and effectively to specialist and non-specialist audiences

- continue to undertake pure and/or applied research and development at an advanced level, contributing substantially to the development of new techniques, ideas or approaches.

And holders will have:

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

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14.5   APPENDIX 5: GUIDELINES FOR THE CONDUCT OF ONLINE *VIVA VOCE* EXAMINATION

Owner:	The Doctoral College
Effective date:	August 2022

Guidelines for the conduct of online *viva voce* examination

1   Introduction

1.1   The Doctoral College recommends the use of Zoom or MS Teams for online *viva voce* examinations. In exceptional circumstances an alternative online platform may be necessary.

2   Arrangements for Examination by Video Conferencing

2.1   Equipment

- When arranging the online examination, the quality of the equipment used and link between all locations should be taken into account, especially where links are to overseas institutions.
- The testing of the online link should take place in advance of the scheduled time of the *viva voce* examination.
- Technical support should be made available during the *viva voce* examination in order to respond to any technical difficulties.
- The Doctoral College will aim to minimise technology-related disruptions. However, if technology issues arise and are serious enough to cause disruption to the examination these will need to be addressed.
  - If the difficulties are experienced at the start or during the *viva voce* and cannot be resolved, the examination will be declared null and void without prejudice and will be rescheduled as soon as possible.
  - If the difficulties are experienced at end of the *viva voce*, the chair will ask the examiners whether they can reach an outcome based on the discussions so far. If they are satisfied, they can reach an outcome, this will be communicated with the PGR. If they cannot, the examination will be declared null and void without prejudice and will be rescheduled as soon as possible.
  - If at any point during the *viva voce,* the PGR, examiners, or the chair loses connection, the examination will be paused until all parties are present. The pausing of the examination for this reason will not itself be the ground for an appeal against the procedural irregularity.
- *Viva voce* examinations carried out by video link will not be recorded.

2.2   Time differences

- Any time differences between locations must be taken into account to ensure the PGR is not disadvantaged by the examination taking place at an inappropriate time of day or night.

3   Online Viva Etiquette

3.1   If the PGR has anyone present in the room, other than their supervisory team, or other persons related to the examination process by prior agreement, the chair has the right to ask them to leave to ensure that there is no unfair practice or procedural irregularities. If the PGR is interacting with someone other than the above, the chair has the right to suspend the examination pending investigation.

3.2   The supervisor(s) must mute their microphone and turn off their camera throughout the examination.

3.3   All disruptions should be kept to a minimum. A disruption during the examination, beyond the control of any participants, will not itself be the grounds for an appeal against the procedural irregularity.

3.4   The PGR is permitted to take a hard copy of their thesis, and any supplementary notes, into the examination. They are not normally permitted to take in a laptop or other electronic devices without prior agreement.

4   Outcome of Online *Viva Voce* Examination

4.1   At the end of the examination, all participants should confirm that the online examination had no substantive bearing on the examination process.

4.2   Examiners will be invited to comment on the conduct of the online examination as part of their final report and recommendation using the *Examiners' Joint Recommendations* report form.

4.3   Appeals will be conducted under BU's standard procedures.

5   PGR Wellbeing

5.1   A *viva voce* examination can be stressful at the best of times. Where PGRs are isolated and are supported by their supervisors in person, it is important that every effort is given to ensure their wellbeing.

5.2   Chairs and examiners should consider the PGR's welfare and call for breaks to the process if they feel that this would be beneficial to the PGR.

5.3   Supervisors should be encouraged to offer support to the PGR and arrange to talk to the PGR whilst the panel deliberates the outcome of the viva voce examination.

5.4   In the event of an adverse outcome, the chair should ensure that the PGR is not left unsupported and that they have access to appropriate guidance.

Acknowledgements

This *Code of Practice for Research Degrees* has been written taking account of University rules and regulations, the *QAA Quality Code* and best practice disseminated through UKCGE, Vitae and other HEIs.