



University of Sussex

**Handbook for  
Doctoral Researchers  
2012/13**

Academic Office  
August 2012

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## Introduction

- 1.1 The purpose of this Handbook is to provide guidance and relevant information to help you through the University's requirements for your research degree. It is intended to complement handbooks and other sources of advice that may be available to you at a more local level via your school and department.
- 1.2 In addition to this Handbook, it is also important that you familiarise yourself with the regulations for your degree (these can be accessed via the Doctoral School website at <http://www.sussex.ac.uk/doctoralschool/internal/resources>). It is recommended that you look through these at the outset of your studies, and that you discuss any questions you may have with your supervisor. You should also be aware of the University's Codes of Practice on Research, Intellectual Property and Research Governance (accessible via the Research and Enterprise website at: <http://www.sussex.ac.uk/res/1-4-8.html>) and you should consider any relevant matters arising from these with your supervisor.
- 1.3 The University has a more general *Code of Practice for Research Degree Programmes*, the most relevant sections of which are included in this Handbook. Students are recommended to look at the full text of the code on specific issues (e.g. progress and examination matters), as required, which can be accessed via the Doctoral School website.
- 1.4 Your main point of contact with any issues regarding registration, progress and examination matters is likely to be with the Student Progress and Assessment Office (SPA) in Sussex House. This Office is based on level 3 of Sussex House and the reception desk can be located by entering the building from the North-South Road opposite the John Maynard Smith Building (School of Life Sciences). The office is open from 9.00 to 17.00 Monday to Friday (term-time), 9.00 to 13.00 and 14.00 to 17.00 (vacation).
- 1.5 In August 2009 a University-wide Doctoral School was created to champion the cause of the next generation of researchers throughout the University. The Doctoral School coordinates and enhances the support provided to postgraduate and postdoctoral researchers within their immediate discipline. Specifically, it enables an institutional framework for the provision of University-wide skills training and professional development opportunities, as well as co-ordinating a regular programme of social activities and events relevant to the particular needs and interests of research students.
- 1.6 University-level policy regarding research degree matters is normally approved by the Doctoral School Committee in consultation with the Schools and the Research Degree Examination Board. This handbook is correct, in line with such changes, as of the date below.

If you have any comments or suggestions for changes to future editions of this handbook, please contact [M.P.Moon@sussex.ac.uk](mailto:M.P.Moon@sussex.ac.uk)

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## 2 THE STRUCTURE OF SUPPORT FOR RESEARCH STUDENTS AT SUSSEX

- 2.1 Most day-to-day contact will be at the local level and provided via your School (or department). Your primary source of *academic* support will be your main research degree supervisor. In addition, departments may have a person (either the Head of Department or the Research Convenor) with responsibility for all research degree students within that unit. Overall responsibility for research students within each School rests with the Director of Doctoral Studies.
- 2.2 On page 4 is a list of Directors of Doctoral Studies and Research and Enterprise Coordinators. You are advised to consult your Research and Enterprise Coordinator on any administrative issues in the first instance.
- 2.3 To supplement sources of academic support and advice, assistance is also available in relation to problems or queries of a more *personal* nature. The Student Life Centre (<http://www.sussex.ac.uk/studentlifecentre>) in Chichester 1 has specially trained Student Life Advisors who are available for general support and guidance. Each school has a responsible Director of Student Support who can also offer advice, and if necessary, pursue action on your behalf.
- 2.4 A more detailed description of the full range of welfare services that are available to support students during their studies is set out in the *Student Handbook* which is available at <http://www.sussex.ac.uk/studenthandbook/>
- 2.5 The opportunity to acquire relevant skills, not just in order to successfully complete your thesis, but also to aid your future career development, is recognised as an important component of your research degree. At Sussex, a programme of courses tailored to meet the skills training requirements of doctoral researchers has been specially developed. In addition to courses designed to assist you with completion of your doctorate – e.g. on writing and planning your thesis, and on preparation for the viva – the programme also includes courses to support development of more general professional development and career management skills. The Doctoral School researcher development portal - <http://www.sussex.ac.uk/doctoralschool/internal/researcherdev> - includes details of opportunities currently available, and also offers general advice on assessing your skills requirements and matching these with the courses on offer. You should consider with your supervisor at the outset of your studies your professional development requirements, and continue to review these on a periodic basis as you progress.

<b>School</b>	<b>Director of Doctoral Studies</b>	<b>Research &amp; Enterprise Coordinator</b>
Business, Management and Economics	Professor Ed Steinmueller	Joy Blake
Education and Social Work	Dr John Pryor	Pascale Fanning-Tichborne
School of Engineering & Informatics	Professor Peter Cheng	Luke Scott
English	Professor Vicky Lebeau	Laura Vellacott
Global Studies	Dr Jonathan Mitchell	Jayne Paulin
History, Art History and Philosophy	Dr Katerina Deligiorgi	Fiona Allan
Law, Politics and Sociology	Professor Shamit Sagar	Lindsey Allen-Cavell
Mathematical and Physical Sciences	Dr Bertram During	Richard Chambers
Life Sciences	Professor George Kemenes	Deeptima Massey
Media, Film and Music	Professor Nicholas Till	Sarah Maddox
Psychology	Dr Susan Ayres	Lene Hyltoft

### 3 RESPONSIBILITIES OF RESEARCH STUDENTS AND THEIR SUPERVISORS

- 3.1 All research students should be provided at minimum with a 'main' and 'additional' supervisor. In the case of joint supervision, one of the supervisors will be designated as the 'main' supervisor for administrative purposes, and so that you have a clear point of contact in the event of difficulties.
- 3.2 An 'additional supervisor' (or the supervisor not designated the 'main' in the case of joint supervision) should be able to provide advice and support when the 'main' supervisor is not available. In the event of loss of a supervisor, your department and school are responsible for finding a suitable replacement, and ensuring that arrangements are in place to support you during any interim period.
- 3.3 Your responsibilities as a research degree student, and the responsibilities of those involved in your supervision, are outlined in the following two sections.

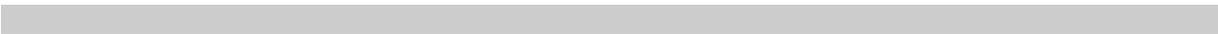
#### Responsibilities of research degree students

- 3.4 The responsibilities that must be observed by research degree students are as follows:
- (1) maintaining regular contact with the main supervisor;
  - (2) discussing with the supervisor/s the type of guidance and comment which will be most helpful, and agreeing upon a schedule of meetings;
  - (3) taking the initiative in raising problems or difficulties, however elementary they may seem;
  - (4) for the safety of themselves and others, students working in a potentially hazardous research environment must take the initiative to ensure that they are competent in any relevant research techniques to be used;
  - (5) preparation of a research outline to be approved during the student's first year of study;
  - (6) planning a research project which is achievable within a schedule consistent with the normal expectations of the relevant Research Council, and maintaining progress in line with that schedule;
  - (7) maintaining the progress of work in accordance with the stages agreed with the main supervisor, including in particular the presentation of written material as required in sufficient time to allow for comments and discussion before proceeding to the next stage;
  - (8) providing annually a brief formal report to the Director of Doctoral Studies as part of the annual review process;
  - (9) deciding when he or she wishes to submit the thesis, taking due account of the supervisor/s opinion, which is however advisory only, and of the need to take account of University requirements regarding the length, format and organisation of the thesis;
  - (10) taking responsibility for their own personal and professional development;
  - (11) agreeing their development needs with the main supervisor at the outset of the programme, reviewing these on an annual basis, and attending any relevant development opportunities so identified;

- (12) being familiar with institutional regulations and policies that affect them, including the regulations for their qualification;
  - (13) being aware of the University's Codes of Practice for Research and Intellectual Property and adhering to the requirements and observing the principles contained therein.
- 3.5 A student who considers that his or her work is not proceeding satisfactorily for reasons outside his or her control should discuss the matter with the supervisor/s and, failing satisfaction, with the Director of Doctoral Studies concerned who will advise on any grievance procedures. In particular, the student should ask to meet the Director of Doctoral Studies if the student feels that he or she is not establishing an effective working relationship with the supervisor/s, bearing in mind that the alleged inadequacy of supervisory or other arrangements during the period of study would not constitute grounds for an appeal against the result of a research degree examination unless there were exceptional reasons for it not having come to light until after the examination, in which case it might be considered.

### Responsibilities of research degree supervisors

- 3.6 The *main* supervisor is directly responsible in their role as supervisor to the Director of Doctoral Studies and, through that officer, to the Head of School and then to Pro-Vice-Chancellor (Research).
- 3.7 The main supervisor is expected to provide the student with advice at every stage in the planning and conduct of research and in the writing of the thesis and to ensure that replacement supervision is available in the event of any significant period of absence. The more specific responsibilities of the *main supervisor* are as follows:
- (1) to complete an annual report on the student's progress for consideration within the framework of the school and/or department's annual review procedures, for later submission to the Director of Doctoral Studies;
  - (2) to provide advice and support to the student on the preparation of a suitable thesis research outline during the first year of their study, in accordance with School procedures;
  - (3) if working in a potentially hazardous research environment, ensuring and monitoring that the student possess adequate technical competence in any relevant research techniques, so that he or she presents no undue risk to themselves, others, and/or University facilities;
  - (4) giving detailed advice on the necessary completion of successive stages of work so that the whole may be submitted within the scheduled time;
  - (5) ensuring that the student is made aware of inadequacy of progress or of standards of work below that generally expected;
  - (6) identifying prospective external examiners.
- 3.8 The more general responsibilities of those involved in the student's supervision are as follows:
- (1) to agree a schedule of regular meetings with the student, in accordance with School policy and in the light of discussion of arrangements with the student;
  - (2) being accessible to the student at other appropriate times when he or she may need advice;
  - (3) giving guidance about the nature of research and the standard expected, the planning of the research programme, literature and sources, attendance at taught classes,

- requisite techniques (including arranging for instruction where necessary), and the problem of plagiarism;
- (4) being familiar with the standard expected of research degree examiners, consistent with the guidance laid down by relevant Research Councils;
  - (5) requesting written work as appropriate, and returning such work with constructive criticism and in reasonable time;
  - (6) arranging as appropriate for the student to talk about his or her work to faculty or graduate seminars, and to be well briefed about the procedures involved in oral examinations;
  - (7) providing clarification on the guidance or comment that will be offered on the student's written submissions;
  - (8) ensuring that the student is aware of the University's Codes of Practice for Research and Intellectual Property and that he or she adhere to the requirements and observe the principles contained therein;
  - (9) providing training in the ethical, legal and other conventions used in the conduct of research, and supporting the student in the consideration of these as appropriate.
  - (10) initial assessment, and ongoing review, of the student's training and skills development needs, in accordance with the Vitae Researcher Development Framework, and taking account of the training provision available at Sussex;
  - (11) ensuring that the student is aware of institutional-level sources of advice, including careers guidance, health and safety legislation and equal opportunities policy;
  - (12) maintaining and developing the necessary skills and expertise in order to perform all facets of the role effectively (including taking up appropriate continuing professional development opportunities)
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## 4 REGISTRATION MATTERS

### Registration procedure for new students

- 4.1 Registration is the formal process of recording the fact that you have become a member of the University. Once you have registered you will be able to register within your Academic School, attend lectures, receive tuition, sit examinations, and use the Library, Computing and other facilities. Your University registration card also includes membership of the Students' Union.
- 4.2 Only when you have registered do you become entitled to attend courses and use the facilities of the University.

### Re-registration of current students

- 4.3 It is a requirement of University Regulations that you renew your registration each year to remain a candidate for a degree. By this means the University is able to:
- a) ensure you fulfil the minimum period of study required for your degree;
  - b) obtain information about students who are present in any one year;
  - c) collect the appropriate fees.
- 4.4 Details on registration will be sent to you by email in August/September. If you are:
- a *full-time* student, you should register using the online system or, if unable to do so, you should attend registration in person;
  - a *part-time* or *continuation* student, registration will take place using the online system;
  - on authorised *fieldwork/distant learning* study and will not be returning by the beginning of the Autumn term, registration will take place using the online system.
- 4.5 *Contact by post.* If the University subsequently needs to contact you by letter, mail will be sent as follows:
- to a *full-time* student, through the internal postal system to your pigeon hole address;
  - to a *part-time* or *continuation* student, to your term-time address;
  - to a *fieldwork/distant learning* student, to your fieldwork address.

#### *Term-Time Address*

- 4.6 Your term-time address should be confirmed when you register, but you should remember that any changes of term-time address must be recorded by amending your details via Sussex Direct. This is important to ensure that we are able to keep in contact with you.

#### *Vacation Address*

- 4.7 You are asked to ensure that your School Office and the Student Progress and Assessment Office in Sussex House are notified of any change of address for the vacation. **Please make arrangements for a colleague to check your pigeonhole for the post if you are unable to do so yourself.**

### Registration with other authorities

#### *Health Service*

- 4.8 All students and their dependents may register with the University Health Service.

*Council Tax*

- 4.9 Full-time registered students living in University-managed accommodation are generally exempt from paying the Council Tax, and the University supplies details of tenants to the local authority. If you are a full-time student not living in University accommodation we will provide you with a letter confirming your registration status which you may use to establish your Council Tax liability with the local authority. International students may wish to consult their Handbook for further information about the Council Tax.
- 4.10 If you are a part-time or continuation student you will not be eligible for exemption or for a discount. You may, however, still be eligible for the discount on other grounds (e.g. low income). If you are on continuation status, the Student Progress and Assessment Office will issue you with a letter to that effect, so that you can investigate your eligibility with your local Council Tax Office.

*Electoral Registration*

- 4.11 Students living in University-managed accommodation should receive electoral registration forms automatically; those living elsewhere may not. In all cases the onus is on *you* to ensure that you are registered to vote here, if you so wish.

*Home Office: Visa extensions*

- 4.12 If you need to apply for a visa extension you should contact the Student Progress and Assessment Office in Sussex house. The Student Progress and Assessment Office will provide you with the necessary document (a CAS). You should apply in good time and at least six weeks before your visa expires. If you have any queries regarding visa extensions, please contact the International and Study Abroad Office.

**Support arrangements for students with special needs or long-term medical conditions**

- 4.13 If you have a disability or long-term medical condition which you believe may have an impact on your studies and/or require support, you should get in contact with the Student Support Unit at the very beginning of your degree, so that a formal assessment can be undertaken. The Student Support Unit will assess what provision can be made to support you during your studies, and whether any reasonable adjustments can be made so that you are not disadvantaged when it comes to your assessment. It will not be possible to make any adjustments unless a formal assessment has been completed by the Student Support Unit.

**Application for change of status from part-time to full-time or vice versa**

- 4.14 If you wish to apply to change your registration status from full-time to part-time or vice versa, you should complete the relevant form available from the Research and Enterprise Coordinator in your School.
- 4.15 Please note that:
- the immigration rules pertaining to students do not normally allow current full-time Overseas students to transfer to part-time status;
  - if you are applying to transfer from part-time to full-time status because you are due to receive full-time sponsorship, please attach a copy of the award letter to the application form;
  - if you have completed the required minimum period of registration before making this application for a change of status, your maximum date of registration will not be recalculated. Your maximum date of registration will only be recalculated if you have not yet reached your minimum date of registration.
- 4.16 On completion of the form, you should send it to your main supervisor who may recommend to the Director of Doctoral Studies in your school that your registration status be transferred.

The Director of Doctoral Studies may then approve the transfer of registration and will inform the Student Progress and Assessment Office. The Student Progress and Assessment Office will inform you of the outcome of your application.

#### Continuation status: Application to transfer to Continuation Status

- 4.17 If you have completed your research work and are currently writing up your thesis or are about to complete your research work you may apply to transfer your registration status to continuation status.
- 4.18 An application form for continuation status should only be completed after discussion with your main supervisor. If you are eligible to apply, an appropriate form will normally be sent to you with the re-registration details. If you do not receive one, and think that you are eligible, please contact the Student Progress and Assessment Office.
- 4.19 Such transfer of registration status will take effect from the beginning of the term for which you wish to be registered as a continuation student.
- 4.20 **Very substantial progress towards completion must have been made in order for continuation status to be granted. For PhD students, continuation status is not normally approved before the completion of three years full-time study or five years part-time study.**
- 4.21 If you are permitted to register on continuation status it is on the understanding that you will only have limited access to University facilities in order to complete your studies. Because a reduced fee is charged you will *not* be entitled to:
- attendance at seminars, classes or tutorials;
  - use of work-rooms, laboratories or similar facilities;
  - close or regular contact with supervisors;
  - University accommodation or membership of, or election to, University Committees;
  - use of a study space or locker;
  - social facilities of the University, other than the Careers and Employability Centre (CEC).
- 4.22 You will continue to receive the same level of use of facilities of the Library and Computing Service up to your maximum date of registration. The Library will advise you in writing of the borrowing arrangements shortly after receiving a copy of the formal letter from the Student Progress and Assessment Office approving your change of status to continuation. The Computing Service will advise you by e-mail.
- 4.23 The Students' Union will be supplied with your name so that it may determine your membership and the appropriate subscription.
- 4.24 Once you have completed the form, you should pass it to your main supervisor who may recommend to the Director of Doctoral Studies in your school that you may be permitted to transfer to continuation status with effect from a specified Term. The Director will make the final decision. The Student Progress and Assessment Office will let you know the outcome of your application.

#### Fieldwork

##### *Application to undertake fieldwork or to study away from the University*

- 4.25 You may be permitted to carry out research elsewhere in the interests of your academic work providing that you spend at least half of your minimum prescribed period of registration as a research student at the University, (the minimum prescribed period of registration for the MPhil Degree is three terms for a full-time student and six terms for a part-time student; and for the PhD Degree it is six terms and nine terms respectively. These periods do not include any period of coursework).

- 4.26 You may not proceed to fieldwork unless:
- (i) your thesis title and research outline/research topic have been submitted and approved;
  - (ii) you have received notification in writing from the Student Progress and Assessment Office confirming that permission has been granted for you to proceed to go on fieldwork.

If you are attending a Research Skills Course as a compulsory requirement for your studies you must have completed this course before going on fieldwork.

- 4.27 The general expectation is that 100% of the relevant fees will normally be paid. With respect to periods away on fieldwork, however, a discount of 35% (i.e. 65% of the full fee) may be agreed, subject to the approval of the Director of Doctoral Studies. Such a discount will only be approved in exceptional circumstances, and only where a clear case can be made on the basis of restriction of access to Sussex facilities (other than supervision) – i.e. that you will not have access to the standard facilities, infrastructure and support network that would normally be available to you.

Please note that fees are adjusted as above in termly units only, or where the majority of the number of weeks in a term are spent on fieldwork. All fees are calculated in termly units and therefore periods spent on fieldwork during vacation periods are not counted in the fee adjustment calculation.

- 4.28 You are required to inform the Student Progress and Assessment Office of your address for correspondence during your absence, and any subsequent change of address.
- 4.29 You must contact the Research and Enterprise Coordinator in your School Office to make arrangements with regard to your work space, if appropriate.
- 4.30 You are required to maintain regular contact with your supervisor(s) on your progress, in accordance with the arrangements approved by your School.

#### *Application Procedure*

- 4.31 If you wish to apply for permission to undertake fieldwork or to study away from the University you should complete form **RF006** which is available from the Research and Enterprise Coordinator in your School Office.
- 4.32 You should pass your completed form to your main supervisor who may recommend to the Director of Doctoral Studies in your School that you be permitted to undertake fieldwork or study away from the University. The Director of Doctoral Studies in your School may then approve your application and will determine the fee that you will be charged.
- 4.33 The Student Progress and Assessment Office will inform you of the Director's decision.

#### *Application to extend your period of fieldwork or period of study away from the university*

- 4.34 If you wish to extend your period on fieldwork or study away from the University you should complete form **RF008** which is available from the Research and Enterprise Coordinator in your School Office.
- 4.35 You should send your completed form to your main supervisor who may recommend to the Director of Doctoral Studies in your school that you be permitted to extend fieldwork or study away from the University. The Director may then approve your application and will determine the fee that you will be charged.
- 4.36 The Student Progress and Assessment Office will inform you of the Director's decision.

*Return from fieldwork or study away from the University*

- 4.37 On return from your fieldwork or study away from the University, you are required to notify the Student Progress and Assessment Office in Sussex House that you have returned and to provide your new term-time address by amending Sussex Direct.

**Extension of registration period**

- 4.38 In exceptional circumstances you may request an extension to your period of registration past your maximum period of registration (the maximum period of registration for the MPhil is three years for a full-time student and four years for a part-time student; the maximum period of registration for the PhD is four years for a full-time student and six years for a part-time student; the maximum period of registration for the EdD and DSW is six years). You may apply for an extension of one, two or a maximum of three terms.
- 4.39 Your request for an extension should be made to the **Director of Doctoral Studies in your school** to whom you should supply the following information:
- a statement setting out the reason for the request for an extension;
  - a statement of the current progress of your research and writing-up;
  - a timetable for the completion and submission of your thesis;
  - any documentary evidence in support of the request;
  - a statement of support from your main supervisor;
- 4.40 The Director of Doctoral Studies should complete the standard form reporting their decision to the Student Progress and Assessment Office. The Student Progress and Assessment Office will then send you a formal letter informing you of the Director's decision.
- 4.41 Any extension granted will constitute a final period of registration. Only in exceptional circumstances will you have a further opportunity to submit an application to the Director of Doctoral Studies.
- 4.42 If the Director does not agree to grant you an extension, **you will be required to withdraw on academic grounds**, that is, you will no longer be a candidate for a University of Sussex degree once your maximum period of registration has been reached.

**Temporary withdrawal (Intermission)**

- 4.43 If you wish to apply for a period of temporary withdrawal you should consult your main supervisor. If your supervisor supports your request then your supervisor will make a recommendation to your Director of Doctoral Studies. The final decision rests with the Director of Doctoral Studies. You must complete the relevant form which is available from the Research and Enterprise Coordinator in your School Office.
- 4.44 The Director of Doctoral Studies will notify the Student Progress and Assessment Office of the final decision.
- 4.45 Please note that applications for intermission should be made in good time, preferably in advance. An application to intermit will only be accepted in advance, or within the current term of study. **Retrospective intermission for terms already completed will not be permitted.**
- 4.46 You should note that temporary withdrawal (intermission) is not a right and the University may set conditions for your return.
- 4.47 The Student Progress and Assessment Office will write to notify you of the outcome.

- 4.48 NB: If you are an overseas student and you have entered the UK on a Tier 4 student visa, the immigration authorities will require you to return home for the period of the intermission. The University is required to report your intermission to the UK Border Agency.

#### **Procedures to change your registration from MPhil to PhD**

- 4.49 If you wish to apply to change your registration from MPhil to PhD you should consult your main supervisor. Your supervisor will advise you about the approved procedures in place within your School.
- 4.50 The Student Progress and Assessment Office will write to notify you of the outcome.
- 4.51 If you are refused permission to change your registration from MPhil to PhD and consider that the decision was based on inadequate evidence or taken in an improper manner, you have the right to appeal against that decision by writing to the Secretary of the Research Degree and Professional Doctorate Appeals Board within 21 days of notification of the decision (see sections 7.2 to 7.10 below on how to appeal).

## 5 RESEARCH PROGRESS

### Preparation of a research outline

- 5.1 In accordance with School procedures, you are required to prepare a research outline during your first year of study which sets out the overall plan, objectives and timetable for your research. It is recommended practice that your research outline and proposed thesis title should be confirmed as part of your annual review process at the end of your first year, before being formally approved by the Director of Doctoral Studies.

### Annual Review

#### *Student Report*

- 5.2 Your research progress is reviewed annually and is an important process. The review process is intended principally as a means to review your progress, though it does also provide an opportunity to draw attention to any problems you may be experiencing, or any areas where you might be better supported by your department or school.
- 5.3 You will be asked to complete a report outlining your progress and return it to your School Office. The report should provide detail in the following areas:
- the current stage of your research and the production of your thesis. You should relate this account to the plans given in your research outline, explaining any changes from those, and indicating the most recent developments. If you are on fieldwork, or have completed it in the past year, you should outline its successes and problems;
  - any special problems in your research which might need access to further specialised advice or resources;
  - whether your work has been significantly impeded by any non-academic factors or if you expect it to be so in the next few months;
  - how many times you have been in contact with your supervisor and whether that has been satisfactory;
  - whether you feel that you have been receiving adequate and appropriate feedback and advice;
  - any courses or training you have undertaken in the past year and whether there are any further requirements that you feel you need;
  - your funding arrangements;
  - when you realistically expect to submit your thesis;
  - any other factors that you would like to draw to the attention of the Director of Doctoral Studies.
- 5.4 You will be asked to return the report to your School Office by the date specified.
- 5.5 You will be asked whether or not you wish your supervisor to have a copy of the report.

#### *Supervisor's Report*

- 5.6 Your main supervisor will also be asked to complete a report which details:
- whether you are making generally satisfactory progress in accordance with the plans in your research outline;

- your relationship with your supervisor and whether you have kept in touch adequately;
  - when your supervisor realistically expects your thesis to be submitted;
  - whether, in your supervisor's opinion, there is any risk that you will not submit by the end of the official maximum period of registration. Your supervisor will be asked whether it is likely that you will complete by the four-year deadline;
  - whether any non-academic factors may have impeded your work sufficiently to make a case for intermission;
  - whether your supervisor thinks that you need any specialist training, advice, or special resources;
  - any problems identified and the solutions to rectify those problems;
- 5.7 Your supervisor will discuss their report fully with you; if you are on fieldwork or on continuation status, this may be difficult but the contents will be conveyed to you so that you know your supervisor's views, and are given the opportunity to comment if you wish.
- 5.8 Your supervisor will return the report to the relevant departmental source, for subsequent onward transmission to the Director of Doctoral Studies.

#### *Annual Review meeting*

- 5.9 You are required to attend a formal annual review meeting with a member of faculty nominated by the Director of Doctoral Studies who is not your main supervisor, although your supervisor(s) may also attend with the agreement of the Director of Doctoral Studies. The meeting is to discuss your academic progress and may include an academic defence of the subject matter of the thesis.
- 5.10 Subsequent to the annual review meeting, a recommendation will be made to the Director of Doctoral Studies on your registration status for the following academic year.
- 5.11 The Director of Doctoral Studies will be required to confirm (a) that all reports have been duly completed by both the student and the supervisor, (b) that the annual meeting has taken place and (c) the decision has been taken on your registration for the following academic year.
- 5.12 If your progress is not deemed to be satisfactory, your registration may be transferred from PhD to MPhil or you may be refused permission to register in the following academic year.

#### *Appeal*

- 5.13 If you have been refused permission to re-register and consider that the decision was based on inadequate evidence or taken in an improper manner, you have the right to Appeal against that decision by writing to the Secretary of the Research Degree and Professional Doctorate Appeals Board within 21 days of notification of the decision (see sections 7.2 to 7.10 of this handbook on how to appeal).

#### **More general monitoring of your progress and attendance**

- 5.14 The Code of Practice for Research Degree Programmes (section 4.3) advises that 'At minimum, there should normally be at least one formal meeting each month (or equivalent) between the supervisor and student' with the exception of those students away on fieldwork or studying at a distance. This policy should be adjusted suitably for part-time students.
- 5.15 Your School will apply procedures to ensure that your attendance at supervisions is monitored on a termly basis. The Director of Doctoral Studies will oversee this process within

your School. In the event that non-attendance continues without adequate explanation or resolution and/or unsatisfactory progress is occurring, your case will be reviewed by the Director of Doctoral Studies to consider formal action, possibly culminating in withdrawal.

- 5.16 Supervisory meetings will be formally recorded on your student record, and may be viewed by you through Sussex Direct. In consultation with your supervisor, you should also ensure that a written record is kept recording the outcome of formal meetings between you and your supervisor, and that this is agreed and signed by both you and your supervisor. You should check with your Research and Enterprise Coordinator regarding the specific arrangements that are in place within your School.

#### Change of thesis title

- 5.17 If you wish to change the title of your thesis, you should consult your main supervisor. If your supervisor agrees, you should complete form **RF004** available from the Student Progress and Assessment Office in Sussex House and pass it to your supervisor who will countersign it and pass it to the Director of Doctoral Studies in your school with a recommendation to change the title of your thesis. The final decision rests with the Director of Doctoral Studies.
- 5.18 The Student Progress and Assessment Office will write to notify you of the outcome.

#### Change of supervisor

- 5.19 If you wish to request a change of supervisor you should first consult with your Research Convenor or Director of Doctoral Studies (or Head of School if either is involved as main or second supervisor). The Director of Doctoral Studies (or Head of School) may then approve a change and will inform the Student Progress and Assessment Office.
- 5.20 The Student Progress and Assessment Office will write to notify you of the outcome.

#### Exploitation of Intellectual Property

- 5.21 University of Sussex, through Research and Enterprise Services, is committed to identifying, protecting and commercialising the new technologies, processes, and other knowledge that arise as a consequence of the research at the University. The policy relating to IP is available at: [http://www.sussex.ac.uk/res/documents/exploitation\\_policy\\_of\\_ip.pdf](http://www.sussex.ac.uk/res/documents/exploitation_policy_of_ip.pdf)
- 5.22 The University claims ownership of the IP created by University staff as an employer is entitled to the rights in the work of its employees during the normal course of their duties. Students, however, normally own the IP in their work, as they are not employees. A student is then free to use those rights as they choose. However, those rights may not be usable without access to the University's IP, and hence they may require agreement with the University, or be best exploited through the University's mechanisms.
- 5.23 Under certain circumstances, a student engaged in research that is the subject of a University commercialisation project, or where an external funder has reserved rights, may be asked to assign IP to the University or to the funder. In this case, the student would be treated in the same way as a member of staff, and if the commercialisation of the IP generates a profit, the student will receive a share in exactly the same way as staff are rewarded.
- 5.24 If you think you have a new idea or technology that has commercial potential, get in touch with Research and Enterprise – they can clarify ownership of the idea or technology, provide advice about the commercial potential of your idea or technology, and may also be able to offer advice to support the commercialisation process.

## 6 EXAMINATION MATTERS AND COMPLETION

### Notice of intention to submit your thesis or portfolio

- 6.1 You must give the Student Progress and Assessment Office at least two months prior notice of your intention to submit your thesis or portfolio by completing the form *Application for Entry to the Research Degree Examination RF002* which is available from the Student Progress and Assessment Office. You should attach a copy of your summary to the form (see sections 6.25 to 6.26 below for a description of what the summary should consist of).
- 6.2 Your main supervisor will be required to sign the form to confirm that the prescribed study for the degree has been completed.
- 6.3 When you submit your thesis or portfolio to the Student Progress and Assessment Office, you will be reminded that you must be registered at the time of submission and asked to confirm that this is the case.
- 6.4 The Student Progress and Assessment Office will inform you whether your application for entering the examination has been accepted.

### Preparation of your thesis or portfolio for examination

#### *Number of copies required*

- 6.5 You should submit THREE temporary bound copies of your thesis. The thesis should be bound in a soft cover with an adhesive spine and should NOT be presented in spiral binding or have holes punched in the thesis (with the exception of portfolios of Musical Compositions, which should be in spiral binding). You will be issued with a receipt. If you are unable to submit by the date given, you should so inform the Student Progress and Assessment Office.
- 6.6 For students who need to submit copies of their thesis by post, these should be mailed to Penny King, Student Progress and Assessment Office, Sussex House, University of Sussex, Falmer, Brighton, BN1 9RH.

#### *Temporary binding*

- 6.7 The THREE hard copies should be submitted in **temporary** binding as follows:

*Thesis* - the pages of the thesis should be held together in a soft cover by an adhesive spine and should not be stitched or have holes punched in them.

The Print Unit (Hastings Building) offers a thermal binding service for reasonable rates. See their webpages for further details: [www.sussex.ac.uk/efm/services/print-unit-services](http://www.sussex.ac.uk/efm/services/print-unit-services)

*Portfolio of musical compositions* - a portfolio of musical compositions and associated commentary should have a spiral binding.

#### *Language of thesis or portfolio*

- 6.8 The thesis or portfolio, apart from quotations, should be written in English. Submission of a thesis in a language other than English may be approved by the Doctoral School Committee in exceptional circumstances.

#### *Length and format of thesis or portfolio*

- 6.9 The figures below for the maximum word length of theses *include footnotes and bibliography but exclude any appendices*. The particular requirements for your thesis or portfolio are as follows:

**General word length for the Master of Philosophy and PhD** – the maximum word length for PhD theses shall be 80,000 words, and for MPhil theses shall be 40,000 words except in the following subjects, where no such limits are specified:

Biochemistry  
 Biology  
 Chemistry  
 Engineering and Design  
 Environmental Science  
 Informatics  
 Mathematics  
 Physics & Astronomy  
 SPRU: Science & Technology Policy Research

**Summary word length for the Master of Philosophy and PhD** – the maximum word length for the summary section for both PhD and MPhil theses shall be 300 words except in the subjects of Education, Music-Theatre Performance, Creative Writing and Media Practice where the limit shall be 600 words.

**Musical Composition** – in the case of the MPhil taken by musical composition the thesis shall consist of a portfolio of compositions and a discursive or written component. The portfolio shall contain at least one substantial composition and one or more related shorter compositions. The substantial composition should consist of either: a written score to be scored either for larger forces or for smaller forces in which case it should exceed 15 minutes in duration; or an equivalent-scale musical, sonic or audio-visual work for digital media; or an equivalent-scale musical performance of original work, which must be documented on DVD and submitted with the critical commentary. The written component [associated commentary] shall be between 8000 and 10,000 words in length. In the case of the PhD taken by musical composition the portfolio of compositions shall normally contain at least one large-scale work and a number of related smaller compositions. The large-scale work should consist of either: a written score for larger forces or for smaller forces in which case it should exceed 30 minutes in duration; an equivalent-scale musical, sonic or audio-visual work for digital media; an equivalent-scale musical performance of original work, which must be documented on DVD and submitted with the critical commentary. The written component [associated commentary] shall be between 20,000 and 40,000 words in length.

**Music-Theatre Performance** - the thesis will consist of either a substantial performance work, or a performance work with a portfolio of compositions or other creative work, and a discursive and critical written component. The performance may involve any media or disciplines in combination with music, and may or may not involve the student him or herself. The performance work must be documented on DVD, which must be submitted with the critical commentary. For the MPhil (PhD) the discursive or critical written component of the thesis will be between 10,000 (20,000) and 20,000 (40,000) words in length. The summary for both the MPhil and the PhD shall not exceed 600 words.

**Creative Writing** – the thesis will be an original piece of creative writing and research. The MPhil shall be no more than 40,000 words in length and the PhD no more than 80,000 words. Many creative writing theses will consist of a creative component, in any recognised genre of creative writing, together with a related critical study, with the critical component occupying no less than 20% and no more than 80% of the total word length. Where poetry is the chosen genre, the creative component will be a book length manuscript and the critical component will be no less than 25,000 words (MPhil) or 50,000 words (PhD). However, the thesis may also be presented in such a way that the creative and critical components are interwoven to create a distinctive whole. In this instance, the creative and critical components may be seen, for example, as two different but interdependent responses to the same topic; or the creative component may arise out of the critical component (or vice versa) and be a vehicle for exploring it further. In either case, the summary for both the MPhil and the PhD shall not exceed 600 words. **All students registered from 2008/9 will be examined under this regulation; students registered prior to 2008/9 will also be examined under this regulation, except those who have chosen poetry for their creative component, who**

**will be examined under the corresponding regulation for creative writing as stated in the 2007/8 version of the *Ordinances and Regulations*.**

**Media Practice** – the thesis will consist of a substantial creative work, or a portfolio of creative work, in either video or digital imaging or photography or interactive media or sound or any other digital media or combination of media, and a discursive and critical written component. The work may incorporate live performance and installation in which case these elements must be documented in retainable forms, such as videos, scripts and plans, that are approved by the supervisor(s). For the MPhil (PhD) the discursive or critical written component of the thesis will be between 10,000 (20,000) and 20,000 (40,000) words in length. The summary for both the MPhil and the PhD shall not exceed 600 words.

**Doctor of Education and Doctor of Social Work** – not normally exceeding 50,000 words for the thesis element. The summary for both the Doctor of Education and Doctor of Social Work shall not exceed 600 words.

### *Presentation of your thesis*

- 6.10 It is essential that your thesis is presented for examination in a complete form. It is clear from examiners' reports that this is frequently not the case. At best this means that the work is not presented to the examiners in a good light. At worst it may mean that the examiners are unable to assess the academic work properly and have no choice but to recommend a major revision or even failure. Submission of theses in an incomplete or poor form has played a significant part in failure of a thesis on a number of occasions during the past few years. Although you may be offered the opportunity to resubmit, this involves further expense and a great deal of additional time and effort on your part, and the risk that the revised thesis will still not be acceptable, in which case failure will follow; a second resubmission is not permitted.
- 6.11 To ensure that this does not happen to you, it is essential to check your thesis very carefully before submitting it. The following are some of the things to check, though this does not include subject-specific aspects such as statistical analyses, formulae or quotations. Your supervisor/s can provide further advice. Check that:
- 6.11.1. All chapters/sections are present and complete, correctly numbered and in the correct order.
- 6.11.2. Tables of contents, etc. are present and correct.
- 6.11.3 All Figures and Tables are present, inserted in the correct place, have an appropriate title and legend where necessary, and are in final form (not rough drafts!) and appropriately numbered. A minimum font size of not less than 9 is suggested after insertion of a Figure into the main text of the thesis.
- 6.11.4. The text has been carefully checked to remove typographical, spelling and grammatical errors. Of course, complete elimination of such errors is very difficult, and insertion of a few corrections at a later stage is usually allowed, but a large number of errors gives a very bad impression, and more than one error per page is not considered acceptable.
- 6.11.5. The bibliography is presented in an acceptable format (consult your supervisor), references are cited accurately, and every reference cited in the text is given in the bibliography and vice-versa.
- 6.11.6. All pages are present and correctly numbered and located.
- 6.12 Many students have retained the services of a proof reader or editor in completing a draft of their thesis.

*Format of the thesis or portfolio*

6.13 The approved format of your thesis or portfolio is as follows:

**Paper:** A4 and of good quality. Students in countries where A4 paper is difficult to source can submit on US Letter sized paper (NB: there is no size restriction on drawings, map and similar documents);

**Typeface:** the typeface should be clear and easy to read

**Printing:** on one side of the paper only;

**Spacing:** double or one-and-a-half line-spacing being used for the main text (except for indented quotations or footnotes where single line-spacing may be used);

**Margins:** the left-hand-side should be 4cm. The top and bottom margins should be 2.5cm deep. The right hand margin should be 2cm.

*Pagination*

6.14 Pages should be numbered consecutively through the main text, excluding photographs and/or diagrams which are not embodied in the text.

6.15 Page numbers should be located centrally at the top of the page.

6.16 Any photographs or diagrams not included in the text shall be indexed separately by reference to the page which follows it.

*Title page*

6.17 The title page should give the following information:

- (i) the full title of the thesis and the sub-title if any;
- (ii) the full name of the author;
- (iii) the qualification aimed for;
- (iv) the name of the University of Sussex;
- (v) the month and year of submission.

*Table of contents*

6.18 A table of contents should be included in the thesis. It shall list in sequence with the page numbers, all relevant sub-divisions of the thesis, including the titles of chapters, sections and paragraphs as appropriate, the bibliography, the list of abbreviations and other functional parts of the thesis, any appendices and the index (if provided).

6.19 Drawings, maps and similar documents should preferably be included with the text, but may, if necessary, be submitted in a portfolio lettered in similar fashion to the text.

*Bibliography*

6.20 A composite bibliography shall be presented at the end of the thesis after the main text and before any appendices. Individual bibliographies for sub-divisions of the thesis should not be employed. The composite bibliography shall either be numbered consecutively, as far as possible, in the same order as references appear in the text (with numbers only in the text) or be placed in alphabetical order of authors, sub-divided chronologically by year of publication (with authors' names and years of publications in the text). In the latter case publications in the same year by the same author(s) shall be distinguished in the bibliography and the text by letters in alphabetical sequence (e.g. 1979a, 1979b).

*Acknowledgements*

6.21 In the introduction to your thesis, you should set out the sources of your information, such as particular libraries, archives, organisational records, private papers and department files. You should also set out the plan of your research procedures, indicating what general categories of persons you interviewed and you should indicate any special conditions of access to information.

*Statement*

6.22 Your thesis or portfolio must include a signed declaration which must be bound into the thesis or portfolio after the title page which states that:

- the thesis or portfolio, whether in the same or different form, has not been previously submitted to this or any other University for a degree (unless you are re-submitting the thesis or portfolio for re-examination);
- details the extent of material already submitted as part of required coursework at any university and the award, if any, obtained as a result. You may be required to produce that original material;
- in a preface to the thesis or portfolio, the sources from which the information has been derived and, if any part of the thesis or portfolio results from joint work with other persons, the extent to which the thesis or portfolio has drawn on the work of those others and the portion of the thesis or portfolio which you claim to be your own original work.

*Incorporation of your published work*

6.23 You may incorporate, as an integral part of the thesis, any of your work published before the submission of the thesis, provided that the greater proportion of the work for the thesis has been carried out after registration for the degree and under supervision. Publications relating to work described in the thesis may be submitted as supporting material.

Examples of standard statements:

**EXAMPLE 1 – WORK SUBMITTED ELSEWHERE FOR EXAMINATION**

I hereby declare that this thesis has not been and will not be, submitted in whole or in part to another University for the award of any other degree. However, the thesis incorporates to the extent indicated below, material already submitted as part of required coursework and/or for the degree of:

.....

In ..... (subject)

which was awarded by .....(institution)

Signature:.....

**EXAMPLE 2 WORK NOT SUBMITTED ELSEWHERE FOR EXAMINATION**

I hereby declare that this thesis has not been and will not be, submitted in whole or in part to another University for the award of any other degree.

**Signature:**.....

*Summary*

- 6.24 You must include a summary in each of your temporary bound thesis or portfolio which may be single spaced. You must also submit one further summary in loose leaf form. Each copy should appear on a separate sheet of A4 paper and each must be separately printed (i.e. they should not be photocopies). The summary must not exceed 300 words except in the following subjects:
- **Education/Social Work** - not exceeding 600 words.
  - **Music-Theatre Performance** – not exceeding 600 words
  - **Creative writing** – not exceeding 600 words
  - **Media Practice** – not exceeding 600 words
- 6.25 The summary should provide a convenient synopsis of the thesis and should state clearly the nature and scope of the research undertaken and contribution made to the knowledge of the subject treated. There should be a brief statement of the method of investigation where appropriate, an outline of the major divisions or principal arguments of the work and a summary of any conclusions reached.

*Summary heading*

- 6.26 Each summary should include a heading set out in the following style:

UNIVERSITY OF SUSSEX

YOUR FULL NAME DEGREE FOR WHICH THE THESIS OR PORTFOLIO IS SUBMITTED

TITLE OF THESIS OR PORTFOLIO

SUMMARY

### **Plagiarism, collusion and other forms of misconduct**

- 6.27 It is an offence for any student to be guilty of, or party to, collusion, plagiarism or any other form of misconduct in an examination or work which is submitted for assessment. It is also an offence to commit any form of misconduct during the course of your research.
- 6.28 The main types of misconduct are defined as follows:

**Plagiarism** - plagiarism is the use, without acknowledgement, of the intellectual work of other people, and the act of representing the ideas or discoveries of another as one's own in written work submitted for assessment. To copy sentences, phrases or even striking expressions without acknowledgement of the source (either by inadequate citation or failure to indicate verbatim quotations), is plagiarism; to paraphrase without acknowledgement is likewise plagiarism. Where such copying or paraphrase has occurred the mere mention of the source in the bibliography shall not be deemed sufficient acknowledgement; each such instance must be referred specifically to its source. Verbatim quotations must be either in inverted commas, or indented, and directly acknowledged.

**Fraud** - deliberate deception, usually involving the invention of data or the fabrication of results or observations. It does not include unintentional error or professional differences in interpretation or judgement of data.

**Collusion** - collusion is the preparation or production of work for assessment jointly with another person or persons unless explicitly permitted by the examiners. An act of collusion is understood to encompass those who actively assist others as well as those who derive benefit from others' work. Where joint preparation is permitted by the examiners but joint production is not, the submitted work must be produced solely by the candidate making the

submission. Where joint production or joint preparation and production of work for assessment is specifically permitted, this will be stated explicitly in the relevant course documentation.

**Interference** - intentional damage to, or removal of, the research-related property of another.

**Non-compliance** with requirements governing research - intentional non-compliance with the terms and conditions governing the award of external funding for research or with the University's policies and procedures relating to research, including accounting requirements, ethics, and health and safety regulations.

- 6.29 Allegations or complaints of misconduct committed by research students will be investigated by the appropriate authority, depending on the timing and nature of the allegation. Where a student is found guilty of misconduct, a range of penalties may be applied, up to and including disqualification from eligibility for the award for the most serious offences.
- 6.30 At the time you submit your thesis, you will be asked to sign a statement to confirm that you understand the definition of plagiarism and that the sources used in your thesis have been fully acknowledged.
- 6.31 If an examiner/s reports misconduct in a thesis after you have submitted it for examination, and if there is sufficient evidence to warrant further investigation, you will be called to a separate *viva-voce* examination to consider the alleged misconduct, in advance of the academic *viva-voce* examination. The *viva-voce* examination to consider the misconduct, will be conducted by the internal and external examiners appointed to examine your thesis.
- 6.32 In the event that the recommendation following the misconduct *viva-voce* examination is that you should be disqualified for eligibility for the award of the degree, you will not normally be offered the opportunity to attend an academic *viva-voce* examination.

#### Turnitin for Doctoral Researchers

- 6.33 Turnitin, the text-matching service, is available to you as a doctoral researcher, on a dedicated Study Direct site: 'Turnitin for Doctoral Researchers' via the Doctoral School website. You will need your ITS username and password to access Turnitin.
- 6.34 This service enables you to check the text in chapters or sections of your thesis or research reports, to help you ensure that material from other sources has all been identified and referenced. Turnitin does this by comparing your submitted text with its enormous database of digital text from journals, books, conference proceedings, web pages, and archived student papers. You then have a confidential and detailed report on text similarities, which you can use to identify material taken from other sources. The site also provides links to helpful resources such as copyright and referencing information and guidance for researchers.

#### Support for research students in preparation for the viva examination

- 6.35 Schools will ensure that students are offered support in preparation for the viva (for example participation at a suitable workshop, offer of a mock viva or reference to relevant written guidance materials).
- 6.36 Your principal source of support in preparation for the viva should be your main supervisor, though input from others involved in your supervision is also encouraged.
- 6.37 The opportunity to present and defend academic work should take place regularly and form part of Annual Review.
- 6.38 Centrally-run workshops on preparation for the viva are available to all students. Details can be found on the Doctoral School website.

## Examination process

- 6.39 Your thesis will be examined by at least one internal and at least one external examiner. One copy of your thesis or portfolio will be sent by the Student Progress and Assessment Office to each of your examiners and the remaining copy will be kept in the Student Progress and Assessment Office.
- 6.40 You will be required to attend a *viva voce* examination in defence of your thesis or portfolio. The internal examiner will contact both you and the external examiner to arrange a mutually convenient time to hold the examination. You are advised that if you refuse to agree a time, or if you do not attend at the agreed time, you risk failure of the examination and the examiners will have the right to go ahead and conduct the examination and make a recommendation to the Examination Board, on the basis of the evidence before them, i.e. the thesis alone.
- 6.41 Your supervisor may be invited by the examiners to attend your *viva-voce* examination. This requires your agreement. If a supervisor does attend a *viva-voce* examination they should only contribute to the discussion if directly addressed by the examiners.
- 6.42 If anyone additional attends at a *viva-voce* examination as an observer this must be approved by the Director of Doctoral Studies in the relevant school and on the condition that they play no part in the examination. Your consent must be obtained, and the rationale for the additional person attending must be clearly explained to you in advance, and confirmed at the outset of the viva.
- 6.43 Where it is school or departmental level policy, or where there are particular circumstances that warrant it, an independent chair may be employed at your *viva-voce* examination. Where this is the case, you will be notified in advance.
- 6.44 The examination is normally held approximately 3-4 months after the time of submission of the thesis. You should inform the Student Progress and Assessment Office at the time of submission if you will be unavailable for any period of time to attend such an examination (or of any anticipated changes in the details of where you should be contacted).
- 6.45 After your *viva voce* examination, the examiners will return their copies of your thesis or portfolio to the Student Progress and Assessment Office.

### *Basis of assessment*

- 6.46 In order to decide whether you have met the required standard for the degree for which you are being examined, your examiners will be guided by the assessment criteria for your degree (see Appendix 1 at the end of this Handbook). They will also take into account the doctoral-level qualification descriptors produced by the Quality Assurance Agency, which specify standards and characteristics that are expected of those who are awarded doctoral-level qualifications (see Appendix 2).

### *Notification of examination result*

- 6.47 After your *viva voce* examination, the Student Progress and Assessment Office will inform you, in writing, of the recommendation made by the examiners to the Examination Board. This recommendation is subject to consideration by the Research Degree Examination Board/Professional Doctorates Examination Board and ratification by the Chair of the Doctoral School Committee on behalf of Senate.
- 6.48 You should note that the only definitive notification of the outcome of your examination is from the Student Progress and Assessment Office. Any informal indication by your examiners of your performance is not definitive.

*Successful attainment of the award*

- 6.49 If the examiners recommend that you be awarded the degree unconditionally, the three copies of your thesis or portfolio being held by the Student Progress and Assessment Office will be returned to you. You will then be required to submit one hard copy of your thesis in the approved style for final binding and one electronic (PDF) copy (see sections 6.56 to 6.62 below).

*Revision and re-submission of a thesis or portfolio (including corrections)*

- 6.50 If you are required by the Examination Board to revise and resubmit your thesis or portfolio for re-examination (i.e. that you have not met the standard required for the award at the first attempt), the Student Progress and Assessment Office will inform you in writing of the recommended revisions and of the date by which your thesis or portfolio must be resubmitted. In the case of revision and resubmission you will be asked to confirm your acceptance of the decision of the Examination Board and pay any appropriate fees. You should consult your supervisor regarding the recommended revisions but you must **not** communicate with the examiners during the period of revision.
- 6.51 If your thesis or portfolio is referred for corrections only, the Student Progress and Assessment Office will return two copies to you and will retain one copy. You will not be required to pay a fee.
- 6.52 Once you have resubmitted your thesis for re-examination, you will not be able to revert to the original offer made by the Examination Board after your original examination.

*Unsuccessful candidates*

- 6.53 If you are unsuccessful in your examination, two copies of your thesis will be returned to you and the University will retain one copy of the thesis which shall become the property of the University.

*Return of theses*

- 6.54 The Student Progress and Assessment Office will return to you any copies of your thesis or portfolio being held in the Student Progress and Assessment Office by one of the following methods:
- in person from the Student Progress and Assessment Office;
  - by recorded delivery (if you live in the United Kingdom);
  - by registered surface mail or by insured mail (if you live outside the United Kingdom).
- 6.55 The Student Progress and Assessment Office cannot take responsibility for the safe passage of theses through the mail. The Student Progress and Assessment Office will be happy to make alternative arrangements for you but at your own expense. **You are most strongly advised to retain a copy of any work submitted for examination.**

**Submission of the final version of the thesis**

- 6.56 On successful completion of the examination process you must submit ONE electronic (PDF) copy of your thesis or portfolio and ONE hard copy of your thesis or portfolio bound in the approved style.
- 6.57 IT Services have several electronic guides that relate to creating and managing PDFs. The following, available on the ITS website (<http://www.sussex.ac.uk/its/help/>) are most useful for preparing your thesis:

FAQ 729 "How do I create a PDF file?"

## FAQ 1651 "How can I merge one or more PDFs into a single file?"

- 6.58 With regard to the hard copy, the outside front board shall bear the title **in gold lettering** of the work in at least 24 pt type. If the title is of excessive length, a short title shall be sufficient.
- 6.59 The spine of the work shall bear, in at least 24 pt type, the qualification attained, your surname and initials and year of award **in gold lettering**. These three items should read in that order from the top to the base of the spine when the work is correctly shelved in the vertical position. This information shall be printed along the spine in such a way as to be readable when the volume is lying flat with the front cover uppermost. If the work consists of more than one volume, the spine shall also bear at the base the number of each volume.
- 6.60 The approved binding of a thesis consists of boards and smooth cloth:
- the **MPhil** thesis must be bound in a maroon colour cloth
  - the **PhD** thesis must be bound in a dark blue cloth
- 6.61 One copy of all drawings, maps and similar documents must be supplied, preferably being included in each text but may, if necessary, be submitted in portfolios lettered in a similar fashion to the text.
- 6.62 One copy of the Summary must be bound into the hard copy of the thesis.

*MPhil and PhD by Composition*

- 6.63 For the Master of Philosophy or PhD by musical composition, the portfolio must be bound in the approved style of rigid material, A3 in size, portrait orientation and bound at the side with lace-up ties.
- 6.64 Inside it should have two wallets:
- one to hold the scores that make up the submission (these can be numerous and potentially thick, making the portfolio rather wide).
  - one to hold the Commentary required as part of the submission.
- 6.65 The approved colour and lettering should be in line with that given above for PhD or Master of Philosophy. Please note that, although the scores for the initial submission may be larger than A3, all scores for the final binding should be reduced to either A4 or A3.
- 6.66 The Student Progress and Assessment Office can advise you on details of binders who can provide the necessary portfolio binding.

*Additional requirement for PhD students in the Institute for Development Studies (IDS):*

- 6.67 Successful PhD students in the IDS are asked to submit a further copy of their completed thesis, in hard-cover binding, which will be given to the IDS Library. The IDS Library will arrange reimbursement of the extra cost incurred upon presentation of receipts for photocopying and binding. (NB: This applies only to completed theses: you do not need to submit an extra copy at initial submission stage.)
- 6.68 This extra copy should be submitted direct to the IDS Library. Reimbursement will be arranged.

**University Institutional Repository and the British Library**

- 6.69 On the successful completion of your examination, you are required to submit one hard and one electronic (PDF) copy of your thesis or portfolio, both of which become the property of the University. The hard copy will be retained by your department or School.

- 6.70 The electronic copy will be used to allow public access to your thesis via the University's Institutional Repository, Sussex Research Online. Sussex University Library will no longer hold printed hard copies of theses. An electronic copy of your thesis will also be uploaded to the Electronic Theses Online Service (EThOS) run by the British Library (<http://ethos.bl.uk>). This service offers free access to the full text of UK theses, allowing your research to be made available to the wider scholarly community more easily. The thesis will be free to download, although the requestor may opt to pay for a print copy or a copy on CD. You will be requested to complete an EThOS deposit form upon submitting your thesis.
- 6.71 If you wish, you may request to have the final PDF version of your thesis 'locked down' before it is uploaded to Sussex Research Online and EThOS. This will prevent copying and editing of the document itself, or of the text and images it contains. Contact [library.cataloguing@sussex.ac.uk](mailto:library.cataloguing@sussex.ac.uk) for further information.

### Third Party Copyright and confidential sources

- 6.72 Before submitting the hard and electronic copies of your thesis, you should check that you are able to use any third party material e.g. photographs, images, diagrams, maps and long extracts from other works. While you are permitted to use third party material in a thesis for the purposes of examination, you do not automatically have permission to make these materials freely available online. Under copyright law, making a thesis available online is considered a form of '*publishing*' as it makes the work available to the public. Every attempt should be made, at the earliest opportunity, to gain permission from the rights holder to include such material. All permission should be obtained in writing and an electronic copy of the correspondence should be submitted along with the electronic copy of your thesis. Further information on third party copyright permissions, including what to do if permission is not granted, is available from the Library website at: <http://www.sussex.ac.uk/library/info/copyright>
- 6.73 Under the Regulations for the Award of the Degrees of Master of Philosophy and Doctor of Philosophy the following applies:
- 'Only material which is freely available for publication may be incorporated into work submitted for assessment. For work permitted to incorporate material not freely available for publication an embargo on consultation or restriction of access may be implemented by the Library for a specific duration with the approval of the Director of Doctoral Studies of the relevant School and other conditions shall apply at the discretion of the Director of Doctoral Studies who may permit the inclusion of materials not freely available for publication'.
- 6.74 The following is intended to illustrate the kinds of material, which may be termed confidential sources, referred to by this Regulation, and to offer guidance on the problems which such material presents.

#### *The nature of confidential sources*

- 6.75 The following are examples of sources of confidential information which may be encountered by students:
- a) Information from documents or files which were produced under the authority of a public agency or government department, and made available by private agencies, such as firms, or individuals, with or without conditions;
  - b) Information from letters written by individuals in a public or private capacity which have not been published or available in a public archive for more than one hundred years;
  - c) Information from interviews with individuals about the activities and/or personnel of public or private organisations.
- 6.76 Any material which is protected by copyright should also be considered to determine whether it is also confidential.

- 6.77 In the course of their research, students may obtain information from confidential sources, and then face decisions about how to take account of the information, and how to clear it for publication. The problems should not be put aside until the thesis has been written. It is important to realise that a thesis is legally considered to have been published as soon as it is made available to anyone at all, and therefore it cannot be written as a private document.

*Treatment of confidential sources*

- 6.78 Given that a thesis is a publication, it cannot, without permission, include quotations from, or citations of, documents or letters or oral statements which are confidential. Students who have obtained confidential information should proceed as follows:
- a) Every effort should be made to find published sources which make points or substantiate data which have been encountered in confidential sources.
  - b) Some institutions allow a researcher to consult records on condition that manuscripts of any material intended for publication are submitted to them for approval prior to publication; in such cases, copies of the letter stating conditions of access and signifying approval of the thesis manuscript should be included when the thesis is submitted for examination.
  - c) Students may be given documents or letters held by a private individual who is an employee, or former employee, of some public or private institution. If students wish to quote from or cite documents or letters belonging to such private collectors, they should obtain written permission from the originators of the letters or documents, whether personal or institutional.
- 6.79 In many cases, the amount of confidential material which students will obtain in the course of their research can be dealt with simply, but if students intend to base their theses to a large extent on such sources, then they should discuss this matter carefully with their supervisor at the outset of their studies and continue to review outstanding copyright matters on an annual basis as their thesis progresses (keeping a record of any actions that need to be taken prior to submission).
- 6.80 The Researcher Development Programme includes regular copyright workshops run by the Library which are specifically intended to assist research students by raising awareness and understanding of the copyright issues involved in e-theses submission. Details are available via the Doctoral School website.

**Access to theses**

- 6.81 When a thesis is submitted, it is therefore subject to the following arrangements:
- i) it is made available for use in the Sussex University Repository, Sussex Research Online;
  - ii) it is automatically uploaded to the British Library 'EThOS' service and hence becomes publicly available for download subject to the acceptance of the EThOS End User Licence Agreement;
  - iii) particulars of the thesis, sometimes including abstracts, are sent to various national, international and subject bodies, and to bibliographies.
- 6.82 There may be valid reasons for restricting access to your thesis. Usually this will be for a limited period. Common reasons why you may need to restrict access to your thesis are:
- Your thesis is due for publication and your publisher has advised against making it freely available;

- Your thesis contains commercially sensitive information that may prejudice the commercial interests of another person or company;
- Your thesis contains material that was obtained under a promise of confidentiality;
- Your thesis contains sensitive material about an individual or individuals that may endanger their physical or mental well-being;

All requests for an embargo should be discussed in the first instance with your supervisor who will advise you on how to proceed. In exceptional circumstances access may, with the permission of Senate, be restricted for a period of six months or a year. Extensions of an initial embargo by intervals of one year could be considered very exceptionally, provided that the total period of the embargo did not exceed five years.

#### **End-of-programme feedback on your experience as a research student**

- 6.83 At the same time as you are requested to return the EThOS deposit form to the Student Progress and Assessment Office, you will also be asked to complete an end-of-programme evaluation form. This will enable you to provide feedback to the Doctoral School on the working of your examination process, as well as some overall reflections on your experience as a research student during your time at Sussex.

#### **Graduation**

- 6.84 You will be issued with details of the graduation ceremonies which are currently held in January and July. You will be sent details of the next appropriate ceremony based on the expected date of submission as given on the notice to submit form as follows:
- July Ceremony details for expected submissions by 31 March
  - January Ceremony details for expected submissions by 30 September
- 6.85 This does not guarantee that you will have completed in time to be eligible to graduate at the ceremony for which details have been issued.

## 7 APPEALS AND COMPLAINTS PROCEDURES

- 7.1 There is a distinction between *appeals* which usually relate to specific outcomes or decisions and *complaints* which relate to more general matters of alleged improper conduct or treatment. Information about the University's procedures for submitting a research degree appeal is set out in sections 7.2 to 7.10 below. The University's general complaints procedures, which apply to all students including research students, are set in sections 7.11 to 7.37 below.

### Appeals procedures for research degrees

- 7.2 You may appeal against a decision by the examiners of your thesis following your examination. If you wish to appeal a decision by your examiners, you should submit your appeal in writing to the Secretary of the Research Degree and Professional Doctorate Appeals Board, with supporting evidence, no later than 21 days after publication of the result.
- 7.3 The grounds for an admissible appeal are as follows:
- (a) that there exist circumstances affecting the student's performance of which the examiners had not been made aware when their decision was taken, and which could not reasonably have been presented to the examiners;
  - (b) that there were procedural irregularities in the conduct of the examination (including administrative error) of such a nature as to cause reasonable doubt whether the examiners would have reached the same conclusion had they not occurred;
  - (c) that there is evidence of prejudice or of bias on the part of one or more of the examiners.
- 7.4 Please note, however, that there is no right of appeal in the University against the academic judgement of the examiners. Nor does the alleged inadequacy of supervisory or other arrangements during the period of registration constitute grounds for an appeal unless there are exceptional reasons for the information not having come to the attention of the examiners until after the examination.
- 7.5 You may also appeal against a decision that your registration be withdrawn, that you be refused permission to re-register, or that you be refused permission to change your registration from Master of Philosophy to Doctor of Philosophy (or vice-versa). You should submit your appeal in writing within 21 days of the notification of the decision.
- 7.6 Please note that it is your responsibility to ensure that all the relevant evidence is available to the appropriate authority before a decision on re-registration or change of registration is made. Evidence produced later will be taken into account only when there are good reasons for it not having been presented in good time.
- 7.7 Where an appeal is deemed to be admissible, the outcome will be decided in the vast majority of cases by the Chair of the Research Degree and Professional Doctorate Appeals Board on the basis of the evidence available and advice from relevant officers. The more detailed procedures for the consideration of research degree appeals are set out within the regulations for your degree accessible via <http://www.sussex.ac.uk/ogs/governance/govdocuments>
- 7.8 More detailed guidance on the appeals procedures, and the process for submitting an appeal, can be found on the appeals website at <http://www.sussex.ac.uk/ogs/governance/appeals>
- 7.9 There is no right of appeal within the University against a decision of the Research Degree and Professional Doctorate Appeals Board or against the outcome of any process of reconsideration instituted by that Board.
- 7.10 The Office of the Independent Adjudicator for Higher Education (OIA) provides an independent scheme for the review of student appeals. Once the University's internal procedures have been exhausted, the University will issue a Completion of Procedures letter.

Students wishing to pursue the avenue of an independent review by the OIA must submit their application to the OIA within three months of the issue of the Completion of Procedures letter. Further details about the OIA are available at [www.oiahe.org.uk](http://www.oiahe.org.uk).

### General complaints procedures for students

#### Level 1

- 7.11 Wherever possible complaints should be raised immediately with the member of staff responsible, or with one of the support services below, with the aim of resolving the problem directly and informally:
- One of the Student Life Advisors
  - The Welfare or Education Officer of the Students' Union
  - One of your Student Representatives
  - A Disability Advisor
- 7.12 Students on Franchise Programmes should seek advice from their college at this level. Details of support services will be set out in the college handbook.
- 7.13 Level 1 will generally be an oral process and a written record will not be made.
- 7.14 If you remain dissatisfied with the response to your complaint at Level 1 you should use Level 2 of the process.

#### Level 2

- 7.15 Where it has not been possible to resolve matters at Level 1 you should write to the Academic Registrar in Sussex House. In order for your complaint to be properly investigated it is essential that you are specific about the cause and nature of your complaint. You should present full details, including your name and term-time address and include all relevant documentation. You should also detail what attempts you have already made to resolve the complaint. Finally you must state what outcome and remedy you are seeking.
- 7.16 Formal (Level 2) complaints should be lodged within three months of the conclusion of the informal (Level 1) phase. Complaints received later than this will not normally be considered. You should expect to receive an acknowledgement of the receipt of your complaint within 5 working days.
- 7.17 Your complaint, and all relevant documentation, will be forwarded to your Head of School (for an academic complaint) or (for a non-academic complaint) to an appropriate senior member of Professional Services (who has not already been involved in the case).
- Academic complaints relate to issues that have a direct effect on the provision of teaching, learning, research and supervision.
  - Non-academic complaints usually relate to issues connected with University services but also cover any inappropriate behaviour from University staff, including allegations of behaviour which is discriminatory or harassing.
- If the Head of School has already been involved at Level 1, an appropriately senior alternative member of staff will be identified to deal with the Level 2 investigation.
- 7.18 In some cases you may be contacted for further information or clarification and you have the right to request a meeting with the person investigating your complaint to discuss the issues in person.
- 7.19 You will be informed, in writing, of the outcome of your complaint. It is our aim to resolve most complaints at Level 2 within 28 days. You will be informed if, for any reason, there is likely to be any delay in the process.

*Level 3*

- 7.20 In the event that you remain dissatisfied with the outcome of your complaint at Level 2 your complaint can be passed to the Academic Registrar for final internal review. You should lodge your request for Level 3 review of your complaint within one month of receiving the outcome of the Level 2 investigation. Requests for review received later than this will not normally be considered.
- 7.21 Requests to review the outcomes of Level 2 investigations will be considered in terms of whether any of these conditions are met:
- There were procedural irregularities in the investigation of the complaint; or
  - Fresh evidence can be presented which was not or could not reasonably have been made available to the investigator at Level 2; or
  - The finding of the investigation was against the weight of the evidence.
- 7.22 If the Academic Registrar is satisfied that any of the above conditions apply, s/he will undertake a further investigation of the complaint. Where appropriate s/he will consult with Senior Officers, including the Pro-Vice-Chancellors, the Registrar & Secretary, the Deputy Vice-Chancellor or the Vice-Chancellor. Where the Academic Registrar has been involved in any earlier stage of the complaints process, or in the events to which the complaint relates, s/he will pass the review over to one of the Senior Officers named above.
- 7.23 You will be notified of the outcome of the investigation of the complaint at Level 3 in writing.

*Independent review*

- 7.24 The Office of the Independent Adjudicator (the OIA) provides an independent scheme for review of student complaints or appeals. When the University's internal procedures for dealing with complaints and appeals have been exhausted, the University will issue a Completion of Procedures letter. Students wishing to avail themselves of the opportunity of an independent review by the OIA must submit their application to the OIA within three months of the issue of the Completion of Procedures letter. The OIA will not normally consider a complaint which has not previously been considered under all the procedures available within the University, and will not normally consider complaints where the Completion of Procedures Letter is issued more than three years after the substantive event(s) complained about.
- 7.25 Students do not need to exhaust both the complaints and appeals processes before complaining to the OIA. For example, when a student presents a complaint, there may be clearly-separable aspects that are more relevant to be investigated under the appeals procedures: in which case, both the complaints and appeals procedures may be invoked, and progressed in parallel. In such cases, if a student is not satisfied with the outcome of one process (e.g. complaint), but is awaiting the result of the other process (e.g. an appeal), the student may submit their application to the OIA within three months of receiving the Completion of Procedures letter for the first process to be completed, and does not need to wait until both processes have been completed.
- 7.26 However, the University continues to also reserve the right to decide, in a given case, which internal procedural route (appeals, complaints, disciplinary, etc.) is most suited to handle the issues presented by a complainant, and not to allow the re-examination of issues that are/have been appropriately reviewed by one process, to also be reviewed by another process in a way that duplicates and does not add specific value.
- 7.27 Further details about the OIA are available from the Academic Office, from the Student Advice Centre in Falmer House or from the Office of the Independent Adjudicator (<http://www.oiahe.org.uk/>).

*Students on programmes validated by the University*

- 7.28 Students on programmes at partner institutions should follow their college's complaints procedures. The University will only consider complaints of an academic nature and only then if the student has exhausted the college's complaints procedure and remains dissatisfied. In such cases, students should enter the University's procedure at Level 3. If, after considering the case against the criteria set, the Academic Registrar decides to undertake further investigation, s/he will consult Senior Officers at the partner institution as well as the University's Partnership Office.
- 7.29 Students seeking an independent review through OIA should note that any complaint at that stage would be in respect of the University's procedures and not those of the validated partner.

*General Principles*

- 7.30 As a general principle the University expects that complaints will be dealt with informally in the first instance. Many complaints can be dealt with quickly and effectively in this manner without the need to follow formal procedures. This complaints procedure has been designed with this in mind. Advisors in the Student Life Centre and/or the Disability Advice team can advise you on how to deal with your complaint and help to resolve it informally. If you decide to make a formal complaint you can get help from:
- The Welfare or Education Officer of the Students' Union
  - One of your Student Representatives
- 7.31 If you are dissatisfied about a matter of academic provision on a taught course, the University would expect you to take steps to raise the matter constructively with a combination of the module tutor and/or the course director in the first instance. If still dissatisfied, you should seek to raise the matter with the Director of Teaching and Learning for the School, and consider getting assistance in the process from either a local student representative, or one of the Students' Union officers mentioned above. These would be the kinds of steps that the University would expect to have been exhausted before a Level 2 'academic' complaint is lodged.
- 7.32 The University is committed to providing a high quality service to its students and you are encouraged to let it know when there is cause for concern or a need for improvement. However, the University will not accept complaints which are frivolous (unfounded, trivial) or malicious (with vindictive motivation).
- 7.33 You should be assured that no complainant will be disadvantaged by having raised a complaint. Privacy and confidentiality will be maintained in the handling of complaints except where disclosure is necessary to progress the complaint. It is the University's expectation that the confidentiality of any documentation generated by a complaint will be respected by all parties.
- 7.34 The following list indicates examples of the type of complaint covered by the procedure:
- Poor teaching or supervision
  - Misleading information in prospectuses or in advertising or promotional material
  - A failing in a University service, academic or non-academic
  - Inadequate facilities
  - The behaviour of a member of University staff
- 7.35 The following are not covered by the procedure:
- A request for a review of a decision of an academic body (e.g. Examination Board) regarding student progression, assessment and award. This is defined as an Academic Appeal and is dealt with under the separate Academic Appeals Procedures.

- Complaint against another student. These are dealt with under the separate Student Disciplinary Procedures.
- The complaints procedure cannot be used to challenge decisions relating to either admissions or student fee status matters. Both have their own dedicated complaints/appeal routes.

7.36 It is important to remember that complaints will not always produce the outcome preferred by the complainant. There may be a number of reasons for this, including lack of evidence to substantiate the complaint or the fact that circumstances beyond the University's control may affect the level of service provided. However, whatever the decision, you will be informed of the result of your complaint in writing and will be provided with the reasons for the outcome.

7.37 A situation may arise where an initial complaint is made which requires further articulation before a reasonably focused investigation can be initiated. If the complainant does not supply a sufficiently detailed statement of complaint within a period of (normally) one month of the University's request for clarification of the complaint, the University reserves the right to suspend further steps until/unless a statement of complaint is forthcoming which can serve as a basis for investigation.

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## Appendix 1 – Criteria for assessment of research degrees at Sussex and extra requirements for the award of the European Doctorate

The criteria for assessment of research degrees during 2012-13 are as described in this Appendix. In order to inform their judgement of whether your thesis has met the required standard, examiners of doctoral-level work will also take into account the Quality Assurance Agency's doctoral-level descriptors (please see Appendix 2 which follows).

### (a) *Master of Philosophy*

- for the award of the **Master of Philosophy**, that the thesis makes an adequate original contribution to knowledge or understanding or is a valuable presentation or interpretation of material put together in an original manner.
- for the award of the **Master of Philosophy** taken by musical composition, that the portfolio of musical compositions makes an adequate original contribution to the field of composition and that the associated discursive and critical component should comprise (a) a critical understanding of the attendant creative process (b) a critical consideration of the relationship between the compositions and relevant practices in the field within which they are located (c) an account of ways in which the practice responds to or explores specific issues in relevant critical theory.
- for the award of the **Master of Philosophy** taken by music-theatre performance, that the work makes an adequate original contribution to the field of music theatre practice and that the associated discursive and critical component should comprise (a) a critical understanding of the attendant creative process (b) a critical consideration of the relationship between the performance work and relevant practices in the field (c) an account of ways in which the practice responds to or explores specific issues in relevant critical theory.
- for the award of the **Master of Philosophy** taken by Media Practice that the work makes an adequate original contribution to the field of media practice, and that the associated discursive and critical component should comprise (a) a critical understanding of the attendant creative process (b) a critical consideration of the relationship between the practical work and relevant practices in the field (c) an account of ways in which the practice responds to or explores specific issues in relevant critical theory.
- for the award of the **Master of Philosophy** taken by creative writing, that the work demonstrates adequate levels of creativity, originality, scholarly competence and knowledge of the field within which it is located. The critical component should comprise at least one of (a) a critical understanding of the attendant creative process (b) a critical consideration of the relationship between the literary composition and contemporary or traditional achievements in the genre (c) an exploration of ways in which the writing responds to or explores specific issues in contemporary literary and critical theory (d) a research-based consideration of the creative writing process in relation to issues in the field of personal development. If the creative and critical components are inter-woven, examiners will take particular account of the way these components enhance each other and form a coherent whole. **All students registered from 2008/9 will be examined under this regulation; students registered prior to 2008/9 will also be examined under this regulation, except those who have chosen poetry for their creative component, who will be examined under the corresponding regulation for creative writing as stated in the 2007/8 version of the *Ordinances and Regulations*.**

### (b) *Doctor of Philosophy*

- for the award of the **Doctor of Philosophy**, that the thesis makes a substantial original contribution to knowledge or understanding.

- for the award of the **Doctor of Philosophy** taken by musical composition, that the portfolio of musical compositions makes a substantial original contribution to the field of composition and that the associated discursive and critical component should comprise (a) a critical understanding of the attendant creative process (b) a critical consideration of the relationship between the compositions and relevant practices in the field within which they are located (c) an account of ways in which the practice responds to or explores specific issues in relevant critical theory.
  - for the award of the **Doctor of Philosophy** taken by music-theatre performance, that the work makes a substantial original contribution to the field of music theatre practice, and that the associated discursive and critical component should comprise (a) a critical understanding of the attendant creative process (b) a critical consideration of the relationship between the performance work and relevant practices in the field (c) an account of ways in which the practice responds to or explores specific issues in relevant critical theory.
  - for the award of the **Doctor of Philosophy** taken by Media Practice, that the work makes a substantial original contribution to the field of media practice, and that the associated discursive and critical component should comprise (a) a critical understanding of the attendant creative process (b) a critical consideration of the relationship between the practical work and relevant practices in the field (c) an account of ways in which the practice responds to or explores specific issues in relevant critical theory.
  - for the award of the **Doctor of Philosophy** taken by creative writing that the work demonstrates substantial levels of creativity, originality, scholarly competence and knowledge of the field within which it is located. The critical component should comprise at least one of (a) a critical understanding of the attendant creative process (b) a critical consideration of the relationship between the literary composition and contemporary or traditional achievements in the genre (c) an exploration of ways in which the writing responds to or explores specific issues in contemporary literary and critical theory (d) a research-based consideration of the creative writing process in relation to issues in the field of personal development. If the creative and critical components are inter-woven, examiners will take particular account of the way these components enhance each other and form a coherent whole. **All students registered from 2008/9 will be examined under this regulation; students registered prior to 2008/9 will also be examined under this regulation, except those who have chosen poetry for their creative component, who will be examined under the corresponding regulation for creative writing as stated in the 2007/8 version of the *Ordinances and Regulations*.**
- c) *Doctor of Education or Doctor of Social Work*
- for the award of the **Doctor of Education** or **Doctor of Social Work**, that the thesis makes a substantial original contribution to knowledge or understanding.
- d) *Additional criteria for the award of a European Doctorate*

In addition to the standard criteria for the award of a PhD, candidates for the **European Doctorate** must also satisfy the following four conditions:

- (1) The examiners must include at least two from universities in two separate European countries other than the United Kingdom.

Examiners will be approved in the usual way by the Research Degree Examination Board which will also, having regard to the third criterion below, consider the extent to which the examiners proposed would be capable of reaching sufficient common understanding of the content of the thesis and of the examination.

In this criterion and in the criterion (2) it is for the Research Degree Examination Board to determine the meaning of the word 'university' which is not limited to institutions bearing that word in their titles.

- (2) The examiners conducting the *viva voce* examination must include at least one from a university in a European country other than the United Kingdom.
- (3) Part of the *viva voce* examination must be conducted in a European language other than English. This will normally be an official language of a European country, and must have the prior approval of the Research Degree Examination Board.
- (4) The thesis must have been prepared as a result of a period of research in another European country of not less than ten consecutive weeks.

## **Appendix 2 – Quality Assurance Agency Descriptors for qualifications at Doctoral (D) level**

### **Doctorates are awarded to students who have demonstrated:**

- i) 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;
- ii) 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;
- iii) 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;
- iv) a detailed understanding of applicable techniques for research and advanced academic enquiry.

### **Typically, holders of the qualification will be able to:**

- a 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;
- b 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 will have:**

- c 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.

[http://www.qaa.ac.uk/Publications/InformationAndGuidance/Documents/Doctoral\\_Characteristics.pdf](http://www.qaa.ac.uk/Publications/InformationAndGuidance/Documents/Doctoral_Characteristics.pdf)