



St Mary's
University
Twickenham
London

DOCTORAL RESEARCH STUDENT HANDBOOK

CODE OF PRACTICE FOR RESEARCH DEGREE PROGRAMMES

(for students reading for PhD and MPhil awards of the University of Surrey)

2018/2019

Contents

Welcome and Introduction St Mary's University Mission Statement

Section A

- 1** Staff Contacts
- 2** St Mary's Registry
 - 2.1 Registration
 - 2.2 Student Identity card
 - 2.3 Tuition Fees
 - 2.4 Change of Address or Name
- 3** Roles of St Mary's Staff
 - 3.1 Director of Studies
 - 3.2 Co-Supervisor
 - 3.3 Moderator
 - 3.4 Faculty Dean/Associate Dean for Research & Enterprise
 - 3.5 Faculty Doctoral Programme Lead
- 4** Your Responsibilities as a Research Student
- 5** Doctoral College
- 6** Research Training

Section B

- 7** Goals of a Research Degree
 - 7.1 MPhil
 - 7.2 PhD
 - 7.3 Duration of study
 - 7.4 Extension of Registration
 - 7.5 Leave of Absence
 - 7.6 Withdrawal
 - 7.7 Change to Mode of Study
- 8** Sub-Committee for Research Students
 - 8.1 Approval of your candidature for a research degree
 - 8.2 Appointment of Examiners
 - 8.3 Monitoring student progression
- 9** Student Progression
 - 9.1 Interim Review
 - 9.2 Annual Review
 - 9.3 Unsatisfactory academic progress
- 10** Confirmation Review
 - 10.1 Aims of the confirmation review procedure
 - 10.2 Confirmation review report
 - 10.3 Confirmation review panel and meeting
- 11** The Final Thesis
 - 11.1 Submission of the Thesis for final examination
 - 11.2 Presentation of the Thesis

Contents

- 11.3 Continuing Student Status
- 11.4 Examination Entry Form
- 11.5 Appointment of Examiners
- 11.6 Binding
- 11.7 Doctoral Thesis Examination (viva voce)
- 11.8 The Format of the Viva Voce
- 11.9 Recommendations of the Examiners
- 11.10 Date of Award and Conferment
- 11.11 Appeals Procedures

Section C

- 12** Student Charter
- 13** Student Representation on Committees
- 14** Ethics
- 15** Support for Disabilities/Additional Needs
- 16** Academic Misconduct and Plagiarism
 - 17.1 What is Academic Misconduct
 - 17.2 Referring to the work of others in your thesis
 - 17.3 Plagiarism
- 17** Complaints
- 18** Use of Personal Data
- 19** Data held by HESA
- 20** Freedom of Information
- 21** Data Protection
- 22** Subject Access Request

Welcome and Introduction

Welcome to St Mary's University. We hope that your time here will be enjoyable and productive.

The purpose of this handbook is to give you the information you will need as a doctoral research student at the University and to explain the rules and regulations which cover your candidature for a research degree. This handbook is for doctoral research students who have registered prior to 1st September 2014. The handbook also outlines some general information about the University which you may find of use during your studies. Please ensure that you read it carefully and follow any instructions where appropriate. There are certain forms and reports that have to be completed with specific deadlines. It is important that you know what these are well in advance so that you are adequately prepared.

You should read this document in conjunction with the [Regulations for Research Degrees of the University of Surrey](#) which are available on the postgraduate area of the student portal.

We wish you every success here at St Mary's.

St Mary's University Mission and Values

The University has a distinctive mission statement which reflects the nature of the University and its background as a Catholic University set up to train teachers for Catholic and other denominational schools. For research students the effect of this distinctive mission is reflected in the ethos of the University and the way you are treated as a student, in that we consider it is important to value and respect people as individuals, irrespective of background.

Our Mission

The mission of St Mary's is to provide high-quality academic and professional higher education within a collegial ethos inspired and sustained by Christian values.

Our primary mission is in teaching and learning, underpinned and enriched by research and scholarship. The transformative nature of our work contributes to the creation of new knowledge and inspires our outreach activities in support of social cohesion and economic development.

Our Values

We are a University which:

- is rigorous, critical and altruistic, dedicated to the development of the physical, intellectual and spiritual potential of each member of our community
- fosters equality of opportunity for all and the integrity of the individual, respects human diversity and actively works towards a more just, prosperous and inclusive society
- acts with honesty, integrity and professionalism in a spirit of dialogue and reflection.

1. Section A

Staff contacts

| | |
|--|--|
| Research Services | research@stmarys.ac.uk |
| Claire Tapia Head of the Research Services and Chair of the Sub-Committee for Research Students | Claire.tapia@stmarys.ac.uk |
| Kim Wright Research Administrator | Kim.wright@stmarys.ac.uk |
| Prof Philip Booth Director of Research & Public Engagement | Philip.booth@stmarys.ac.uk |
| Registry | registryservices@stmarys.ac.uk |
| Faculty of Education, Humanities and Social Sciences Associate Dean for Research & Enterprise and Doctoral Programme Lead – Dr Christine Edwards-Leis | Christine.edwards-leis@stmarys.ac.uk |
| Faculty of Sport, Health & Applied Science Associate Dean for Research & Enterprise – Dr Jamie North Doctoral Programme Lead – Dr Nicola Brown | Jamie.north@stmarys.ac.uk Nicola.brown@stmarys.ac.uk |
| Institute of Theology Director of Research and Doctoral Programme Lead - Prof Peter Tyler | Peter.tyler@stmarys.ac.uk |

NB. The use of the word 'Faculty' throughout this document refers also to the Institute of Theology unless otherwise indicated

2. St Mary's Registry

The Registry handles all your records while you are a student. You should ensure that you keep the Registry informed of all changes related to your personal details, especially your address, mobile number and preferred email address. You should also inform the Registry (and Research Services), if you plan to take leave of absence, change your status, or wish to withdraw.

2.1 Registration

- In order to become a doctoral research student at St Mary's you must register as a student with the Registry.
- You will be sent a Registration Form which will contain all the personal information you have provided. You will be required to check this form and provide any further required information
- You will be required to re-enrol each October. Failure to do so will result in suspension and termination of your registration

2.2 Student Identity Card

- Once you have registered, you will be able to go to Security to collect an identity card.
- This card is a combined identity and library card and provides access to University buildings and printers.
- There is a charge for replacement cards.

2.3 Tuition Fees

- Unless you are being sponsored, you will be required to pay tuition fees each year before registration/enrolment. You will be informed about your fee liability when you are sent registration papers. You should pay promptly otherwise your registration may be suspended
- If you are being sponsored by an external organisation, you should provide proof of this by means of a letter to enable an invoice to be sent to them
- You should expect the tuition fees to increase with inflation each year. Details on current fees can be found at: <https://www.stmarys.ac.uk/research/degree-students/fees.aspx>

2.4 Change of Address or Name

- You should always keep the Registry informed of your change of name or address. You will receive correspondence throughout the year and it is important, therefore, to ensure that your address details on your student record are correct. If you change your name you will need to supply documentary evidence, such as a marriage certificate, before a change can be made
- Important updates and information is sent via your St Mary's email account so it is vital that you check this on a regular basis. Information about how to set up your St Mary's account will be sent to you as part of your registration pack
- Please note that it is your responsibility to ensure that we have an up-to-date contact address for you. If correspondence does not reach you owing to incorrect information you will be held accountable.

3. Roles of St Mary's Staff

There are various members of staff who have responsibility for the progress of your research and also your well-being while you are a student at the University. The most important are your Director of Studies and Co-Supervisor(s). However, there are others responsible for different aspects of your project outlined below.

3.1 Director of Studies

Your Director of Studies is responsible for the overall direction of your programme of study and research towards a University award and for the development of your related understanding and skills and general progress. S/he is responsible for:

- the overall direction and development of your programme of study and research and your welfare
- providing you with guidance about the nature of research; about planning the research programme realistically, about the availability of and access to literature and other sources of information
- provide guidance on good practice in research and research integrity including the difficulties associated with fraudulent misrepresentation of research, plagiarism and acknowledgement of the work of others
- discussing, agreeing and recording with you, at an early stage of your period of study, a programme of support and training designed specifically for your particular needs and the area of research using the Skills Audit
- clarifying and agreeing with you and your Co-Supervisor and/or collaborative supervisor the boundaries of your relative responsibilities towards each other and appropriate lines and means of communication
- advising you on the financial viability of the research project
- ensuring that you are aware of your responsibilities in terms of health and safety in general and particularly in relation to the Faculty and, where appropriate, the requirements of the research programme
- ensuring that you are aware of your responsibilities in terms of ethics and ethical behaviour in research
- ensuring an agreed programme of regular contact is in place at least on a monthly basis, with you in order to maintain effective oversight of the research project
- giving you detailed advice on the various stages of your work, completion dates and requirements to ensure that you progress through the project and to submit the thesis (or equivalent) within a mutually agreed timescale
- requesting written work in order to discharge his/her responsibilities to the Sub-Committee under the University of Surrey's General Regulations for your progress and for consideration of transfer of registration, where appropriate,. Written work should be returned in a reasonable time with constructive, written criticism.
- arranging, as part of your research training, opportunities for you to present your work and interim results to graduate and/or staff gatherings
- making sure that you are kept fully aware of your progress in particular, where the level of progress gives cause for concern or if the standard of work falls below that generally expected. (You should be informed in writing of any serious concerns, together with guidance on what action(s) would be appropriate to address those concerns with an associated timescale);
- making sure that you are made aware of the opportunities available for the development of your research skills and ensuring you are supported in the process

- working with you to maintain a record of personal progress, which includes reference to the development of research and other skills
- agreeing with you arrangements for the confirmation of PhD process
- arranging the confirmation meeting – including arranging for and inviting the external panel member, informing Research Services of the date of the meeting and submitting the relevant paper work
- supporting you during the confirmation meeting
- arranging the viva voce examination in conjunction with the Chair and the examiners
- supporting and preparing you for the final examination and attending the examination
- advising you where to seek professional help if you encounter language difficulties, particularly in instances where English is not your first language
- conducting the interim review and annual progress reviews as required
- ensuring that, if your research is linked with a research contract, your interests are safeguarded to ensure reasonable progress towards your higher degree
- keeping records as required within the University and to conform with institutional requirements for the demonstration of good supervision.

3.2 Co-Supervisor

Your Co-Supervisor (and/or where appointed collaborative supervisor) is responsible for assisting the Director of Studies in directing the your programme of study and research (for example, where s/he has specialist expertise). The Co-Supervisor is responsible for:

- guiding you on particular aspects of the programme of study and research where he/she has specialist expertise and/or where the research extends across two or more departments/disciplines
- arranging with you and your Director of Studies, a programme of regular contact (monthly if full time) in order to maintain effective oversight and co-ordination of your research project
- making him or herself available at other appropriate times when you may require specific guidance or advice.

3.3 Moderator

A Moderator, who will be an experienced academic from another institution, will be appointed to oversee the research project. He/she will hold periodic meetings with your Director of Studies as necessary and appropriate, comment on the outcome of your interim and annual reviews and any examination for the confirmation review/ transfer from MPhil to PhD.

The Moderator is responsible for:

- advising St Mary's and the University of Surrey of on the suitability of resources and facilities available to support your research programme prior to approval
- acting in an advisory capacity to you and your Director of Studies
- maintaining a watching brief on behalf of the University of Surrey over your supervision, progress and general well-being.

3.4 Faculty Dean/Associate Dean for Research & Enterprise

It is the Faculty Dean/Associate Dean for Research & Enterprise's responsibility to ensure that the physical (e.g. equipment and space) and human resources (e.g. the suitability, availability and performance of the supervisory team) required for supervision are available within the School. They will also monitor your progress through your annual reviews.

3.5 Faculty Doctoral Programme Lead

Each Faculty has a designated member of staff responsible for coordinating the research student programme, training and monitoring student progress. The Faculty Doctoral Programme Leads attend the Sub-Committee for Research Students and report on the progress of all students within his/her Faculty.

4. Your Responsibilities as a Doctoral Research Student

In addition to the responsibilities outlined in the Student Partnership Agreement, <http://simmspace.stmarys.ac.uk/prog-admin/student-charter/Pages/default.aspx> as a doctoral research student you will have, as part of the University community, the following responsibilities:

to yourself:

- to take responsibility for the progress of your research, ensuring that it is completed within an agreed timeframe and to seek guidance from the supervisory team to resolve difficulties, as necessary
- to ensure that you have regard for the safety of yourself and others and to make yourself familiar with the University's ethical guidelines and any Faculty-specific guidance
- to work the equivalent of at least a normal 40 hour week as a full-time student; a 20 hour week as a part-time student as a guideline. Research projects should be designed to fit within this constraint. However, it is accepted that some out of hours working will always be required; students should not be expected routinely to work overly long hours. Where holiday entitlement is not specified by a sponsor, students should take no more than six weeks leave per year.

to your supervisors to assist them to carry out their duties:

- to discuss the supervisory relationship with your Director of Studies at the earliest opportunity so that you understand the respective roles and obligations and to clarify any aspects which you do not fully understand
- to discuss with your Director of Studies the type of guidance and comment you would find most helpful, the aims and objectives of the research and suitable background reading
- to discuss with your Director of Studies any financial aspects of funding the research project;
- to keep the supervisor(s) fully informed of developments in the research and to deviate from agreed aims and objectives only by agreement
- to take the initiative in raising with your supervisors any problems or difficulties which you encounter
- to ensure that you attend agreed scheduled meetings (at least once a month) and maintain the progress of your work in accordance with the stages agreed with your Director of Studies
- to submit written progress reports to your supervisors at their direction by the specified deadlines
- to discuss with your Director of Studies arrangements for applying for transfer from MPhil to PhD, if appropriate, and for the submission of your thesis for either award, with the aim to resolve any difficulties or issues of concern
- to agree the authorship and content of work for publication (e.g. journal articles) with your Director of Studies before submitting it for publication and to formally acknowledge the input of supervisors (and others, if applicable) and, where

applicable, funding sources in any published research undertaken while a research student at the University. Individual Faculties may have a policy on the authorship of journal articles

- both you and your supervisor should endeavour to submit within four years for full-time or nine years for part-time students.

to others:

- to respect confidentiality (both professional and commercial) of not only your own findings but also those of others with which you are not directly involved, but with which you may become aware of by virtue of your position as a postgraduate student within the Faculty/University. All such matters must be treated with absolute discretion and integrity at all times
- to exercise professionalism and be sensitive to the needs of colleagues with whom facilities are shared
- to maintain accurate and comprehensive records of the work undertaken, together with any experimental equipment, in an orderly fashion. This may significantly facilitate the writing of the thesis
- to communicate in a professional manner with any sponsors (if the Director of Studies has agreed direct interaction between the student and sponsor).

5. The Doctoral College

- All doctoral research students will be part of the [Doctoral College](#) at St Mary's which is located at the [Naylor Library](#).
- The Doctoral College provides study facilities for all doctoral research degree students who require them as well as hot-desk space.
- The work of PhD students is fully integrated into the work of academics in the Faculties. Not only will you be invited to partake in seminar programmes, full-time students will also be part of Faculty research clusters so that they can obtain wider experience of university research outside their supervisory team. Part-time and professional doctorate students can also take part in these activities as guided by the supervisors.
- As a student of St Mary's you will have access to the library and computing facilities in the Library on the main campus and at the Naylor Library and Doctoral College. Many resources, particularly journals, are now available electronically from any location, not just confined to campus. You can also benefit from the reciprocal arrangements for use of other academic libraries in place through our membership of SCONUL. The Document Supply service can be used to obtain books, journal issues and articles, conference proceedings and theses which are not available in the library (charges apply). Academic staff and students undertaking research who wish to access resources held only in the British Library may apply directly for a British Library reader's pass at:
<http://www.bl.uk/reshelp/inrooms/stp/register/stpregister.html>

6. Research Training

The Researcher Development Programme

As a researcher you are already committed to enquiry through your own research. Professional development extends this process to your own skills, understanding, aptitudes and ambitions. Development as a researcher involves more than building your research profile and research skills and broader professional development is becoming increasingly significant as employers look for researchers who can 'add value' to their organisations.

As a doctoral research student, you will access to the resources and planning tools of the Vitae [Researcher Development Framework](#) (RDF). The RDF is professional development framework for planning, promoting and supporting the personal, professional and career development of researchers in Higher Education and is structured into four domains covering the knowledge, behaviours and attributes of researchers. It sets out the wide-ranging knowledge, intellectual abilities, techniques and professional standards expected to do research, as well as the personal qualities, knowledge and skills you will need to have in order to work with others and ensure the wider impact of research.

The Researcher Development Programmes at St Mary's and the [University of Surrey](#) provide a range of generic and discipline specific sessions which students can attend. The broad areas cover topics such as: research methods; research management; publishing and communication and networking. You will, of course, be expected to present papers at conferences and other events externally as part of your development. In addition, Faculties have additional events during the year and also hold an annual series of research seminars (which include presentations by researchers / doctoral research students to peers and senior colleagues).

Details of St Mary's Researcher Development Programme and other opportunities across the University and at other institutions are posted on the PGR student site <http://simmspace.smuc.ac.uk/prog-admin/research-students/Pages/default.aspx> and also sent to you via email.

To access further information regarding the Researcher Development Framework including an RDF Professional Development Planning Tool click on the link below:
<https://www.vitae.ac.uk/researchers-professional-development/about-the-vitae-researcher-development-framework-planner>

One of your responsibilities as a doctoral research student is to think carefully about the skills and knowledge that you have, about any additional training that you feel you might need and about how to get that training. Identifying your training needs and developing competencies should be an ongoing process, as the following summary suggests:

- **Initial supervision session** – identify training requirements for the first year of study.
- **Initial supervision session** – talk through the RDF with your supervisors and decide how confident you feel about the skills and knowledge that you have; your supervisor should help you to identify skills and/or knowledge which you should try to gain or develop further during year one.
- **During year one** – attend training sessions in order to improve your skills base and increase your confidence levels. Ensure that you keep records of all sessions attended with a short commentary / reflection and discuss these with your supervisors.

- **At the end of year one** – ensure that all of the details regarding your development are included in your Annual Monitoring Report. Plan your attendance at events during the course of year two.
- **During year two** - revisit your training needs in order to reassess your skills. Attend further training sessions and write further reflective reports. Think about the specific training you will need.
- **At the end of year two** – repeat the process from the end of year one, considering how your skills base and confidence levels have improved, plan your attendance at events during the course of year three.
- **During year three** - it is likely that you will undertake the bulk of the skills training during years one and two, and that by year three you will be concentrating on finalising your research and producing your thesis. However, you are still entitled to attend training seminars and wider events.
- **At the end of year three** - repeat the process from the end of year two, considering how your skills base and confidence levels have improved. You should ask your supervisor if you would like some career advice and you are encouraged to contact the Careers Service.

* This format uses full-time years, if you are a part-time student for training purposes roughly two years of part-time study are equivalent to one year of full-time study.

Local Activities

Within each Faculty a number of events (such as guest speakers and research seminars) are scheduled during the academic year. Doctoral research students are strongly advised to engage with these and those of other Faculties to support their own development. Your supervisors will be able to advise you of local events and information is also made available through the student website.

Wider Opportunities:

If you aspire to a career in academia it is a good idea to get some teaching experience. You should discuss this with your supervisors. To ensure that you are appropriately trained and supported to undertake undergraduate teaching, the University runs a PGR Teaching Skills Course for doctoral research students twice a year which is compulsory for students wishing to undertake teaching duties at St Mary's. You are also may also apply for associate membership of the Higher Education Academy. Email the Centre for Teaching Excellence and Teaching Success at tldf@stmarys.ac.uk for further information.

Section B

7. Goals of a Research Degree

7.1 MPhil

An MPhil thesis should be an original piece of work of around 40,000 words on a subject approved by the University's Sub-Committee for Research Students. It is normally completed in two years of full-time study or four years part-time.

An MPhil must pose a clear question, devise an appropriate methodology and reach a significant conclusion. In it you will have to demonstrate that you know how to conduct research at an advanced level in your chosen field, construct a complex argument and marshal a substantial body of evidence to support it. You will have to show that you are aware of what is going on at the forefront of your discipline - the most important advances, insights, theories and methodologies - and are able to evaluate and critique it. The thesis should embody the results of a well-designed research programme or consist of an ordered and critical exposition of existing knowledge in a well-defined field.

If you successfully complete the MPhil you should have learned how to:

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

7.2 PhD

A PhD thesis should be an original piece of work in the region of 80,000 words and no more than 100,000 words or equivalent on a subject approved by the University's Sub-Committee for Research Students. You should consult your Director of Studies for guidance on appropriate wordage for your chosen discipline. It is normally completed in three years of full-time study or six years part-time.

The PhD thesis should have all the qualities of an MPhil, and more. Where it differs, is that it should be a major contribution to knowledge. It is also normally about twice the length which means that you have to compose on a larger scale, present and interpret greater quantities of data, or marshal more complex arguments. The PhD demands higher levels of originality and scholarship than the MPhil. It has to stand at the forefront of its discipline, to break new ground and to demonstrate a comprehensive and critical understanding of the latest advances in its field.

To write a successful PhD you will have to be able to conceptualise, design and implement a major project which will result in the generation of significant new knowledge and/or understanding of your chosen subject.

If you successfully complete the PhD you should have learned how to:

- make informed judgements on complex issues in specialist fields, often in the absence of complete data, and be able to communicate your ideas and conclusions clearly and effectively to specialist and non-specialist audiences
- analyse complex problems, and conceive, design and implement projects which will solve them
- continue to undertake research at an advanced level, contributing substantially to the development of new techniques, ideas, or approaches.

7.3 Duration of Study

The maximum and minimum periods permitted by the regulations for the completion of your research degree are as follows:

| | | |
|-----------------------|--------------------------------|--------------------------------|
| PhD students: | Full-time | Part-time |
| | Min 30 months Max 48 months | Min 60 months Max 96 months |
| MPhil students | Full-time | Part-time |
| | Min 20 months Max 36 months | Min 40 months Max 72 months |

7.4 Extension of Registration

In exceptional circumstances you may apply to the Research Students Sub-Committee for an extension of the maximum permitted period of study and research. You should discuss such a request in the first instance with your Director of Studies. Final approval will be given by the University of Surrey for such requests.

7.5 Leave of Absence

If during the course or your research, personal or other extenuating circumstances arise which make it difficult for you to continue, you are also permitted to suspend your registration and take leave of absence for a maximum period of twelve months. In exceptional cases leave of absence may be extended beyond this but this is subject to the approval of the University of Surrey.

If you wish to take leave of absence you should discuss the matter in the first instance with your Director of Studies and make an application to the Sub-Committee. If you do not return after leave of absence your candidature will be deemed to have lapsed and you will be withdrawn.

7.6 Withdrawal

If you wish to withdraw from your research project you should first discuss the matter with your Director of Studies. You should then inform the Registry in writing by completing the Student Withdrawal Form.

If, following your withdrawal your circumstances change and you wish to recommence your studies you should contact your Director of Studies in the first instance and write to the Head of Research Services (Chair of the Sub-Committee for Research Students) outlining why you wish to return to University. Such requests will be considered in the light of your circumstances.

7.7 Change to Mode of Study

You may also be permitted to change your mode of study from full-time to part-time and vice versa. Minimum and maximum periods of registration will be determined according to the periods of time in which you were registered in each mode. If you wish to change the mode of study you should discuss this with your Director of Studies and put the request in writing to the Head of Research Services.

7.8 Changing Supervisors(s)

If you are experiencing any issues with a member of your supervisory team that you are unable to resolve directly with the team, please contact either the Doctoral Programme Lead in your Faculty/Institute or the Associate Dean for Research and Enterprise.

Further information on the process for **requesting a change to your supervisory team** can be found at –

<http://simmspace.smuc.ac.uk/prog-admin/research-students/Pages/Regulations.aspx>

8. Sub-Committee for Research Students

The University has a Sub-Committee for Research Students which is responsible for overseeing student progression through:

- the approval of research candidature (subject to approval by the University of Surrey) including the eligibility of the candidate and the supervisory team
- overseeing the appointment of Examiners prior to approval by the University of Surrey
- reviewing annual progress reports through the Annual Progression Review Panel, so that the University can assess whether your supervisory team and you feel that your research is progressing as it should be and that there are no problems
- The Sub-Committee reports to the University Research Committee.

8.1 Approval of your Candidature for a Research Degree

Before you are able to commence your research project, approval must be gained from both St Mary's and the University of Surrey. For approval to be given you must have a research project which is capable of being taken to MPhil/PhD level and has the potential through original research to create, interpret, construct and/or expose knowledge which extends the forefront of a discipline.

You must also have an appropriate supervisory team who will be experts in your field and able to guide you in your studies together with a Moderator who is external to the University and who will oversee the smooth running of the project.

8.2 Appointment of Examiners

All nominations for examiners for doctoral research degree programmes must be submitted to the Head of Research Services. Training is available at the University of Surrey for those examiners from St Mary's without previous experience. Examination forms are completed by the student's supervisor and forwarded via the Sub-Committee to the University of Surrey for approval.

8.3 Monitoring Student Progression

Annual reviews on student progress are submitted to the Research Student Sub-Committee, so that the University can assess whether your supervisory team and you feel that your

research is progressing as it should be and that there are no problems. The Sub-Committee reports to the University Research Committee.

9 Student Progression

9.1 Interim Review

To assure the University that your research has started satisfactorily, you and your Director of Studies will be required to hold a review in February following your initial registration.

- The form of this review will be a meeting and brief report from the Director of Studies confirming that the research has started and that there are no initial problems. A written record of the date and agreed outcomes of the meeting, signed by your Director of Studies will be kept on your student file
- The report should state progress against any previously determined objectives; any problems incurred with the research; problems with the supervisory arrangements and resources available and a note of any action required in the next six months
- The report will also be copied to the Doctoral Programme Lead and an overview of progress and any concerns provided to the Sub-Committee for Research Students.

9.2 Annual Review

In order to assure the University that your research is progressing, you and your Director of Studies are required to undertake an annual review of your progress. This annual review will take place in May/June.

- You should complete the first section and this will be the basis of your discussion with your Director of Studies and co-supervisor
- You should submit a 2,000 word report on your progress thus far. You will be provided with guidance on this at the appropriate time
- At the meeting, you will discuss your progress, any problems you are encountering and set your objectives for the coming year
- You must complete the review prior to the annual registration/enrolment process. Failure to complete the form on your part or on the part of your Director of Studies may result in your programme being suspended or even terminated
- The report will be discussed at the Annual Review Progression Panel of the Research Student Sub-Committee.

9.3 Unsatisfactory Academic Progress

A student's registration may be terminated on the grounds of unsatisfactory academic progress. If the Director of Studies judges a student's progress to be unsatisfactory, they will first consult the Doctoral Programme Lead. The details of this consultation will be documented by both parties and must be in agreement that the student's progress is unsatisfactory. If there is a disagreement between the parties then the case will be referred to the Research Student Sub-Committee for a decision.

The student will be sent written notification that their progress has been deemed unsatisfactory and offered the opportunity to remedy this before the commencement of the next academic year.

Following the specified period, the student's case will be reviewed by the Director of Studies, Doctoral Programme Lead and the Research Student Sub-Committee. If all parties agree that the student has failed to meet the

targets to the required standard then a recommendation for programme termination will be made to the Research Student Sub-Committee.

Where a student makes a request for the recognition of extenuating circumstances during or after the specified period, this will be considered and if found to be valid, the deadline will normally be extended by up to three months subject to the approval of the Research Student Sub-Committee.

10. Confirmation Review

The confirmation review process is the main formal interim assessment for research students hoping to continue to PhD. If you are aiming to complete a PhD you will need to undertake a confirmation review. You should discuss with your supervisor(s) the timing of this review but you should undertake the process within the timescales set out below:

Full-time students: 12-15 months after initial registration;

Part-time students: 24-30 months after initial registration.

The confirmation process entails:

- submission of a written report on your research
- a meeting in which you will present and discuss the written submission/review report.

10.1 Aims of the Confirmation Review Procedure

The aims of the confirmation review procedure include one or more of the following:

- to evaluate your approach to the research problem in terms of the theory and proposed or adopted research methods, in order to establish that the future objectives and methods are feasible and likely to form a suitable and sufficient programme for PhD candidature
- to ensure that you have maintained the motivation to complete a thesis/ portfolio and within a reasonable timescale
- to consider whether you have satisfactorily completed modules/courses designated specifically to support your research studies
- to provide you with an assessment of the strengths and weaknesses of the research.

10.2 The Confirmation Review Report

For the confirmation review procedure you will be required to prepare a written report which will comprise:

- a definition of the research problem, presenting the objectives of the research, the central ideas and concepts
- a brief statement of any courses/modules or other training undertaken, as agreed with the supervisor, to underpin the research programme
- a summary of progress to date, including a discussion of the relevant literature (where appropriate, a bibliography of primary and secondary works) and a reasoned case for the research methods adopted thus far
- any material already published
- an outline of future plans for the research, together with an indication of what other methods, if any, it is intended to use

- a time plan for your future research through to submission of the final thesis.

Your Director of Studies will advise you on the content of the report. You should submit 3 copies of your report to your Director of Studies at least one month before the panel meeting.

10.3 The Confirmation Review Panel and Meeting

The following should be present at your transfer meeting:

- you; together with a transfer panel comprising
- two assessors from within the University with knowledge of the field but independent of your research programme (if two internal assessors are not possible then an external assessor will be asked to sit on the panel)
- an independent Chair from within St Mary's.

Your supervisor may attend the confirmation review but is not part of the review panel and therefore not permitted to speak or contribute to the assessment of the student.

It is important, however, that those present and responsible for making a recommendation should be clearly identified.

You should agree with your supervisor(s) an outline schedule for the timing of the meeting of the confirmation review panel. The review meeting may be arranged before your review report is submitted. The schedule should take account of the need for you to produce the report and for the review panel to have sufficient time (at least 14 days) to read it in advance of the meeting.

The confirmation review panel will make a recommendation to the Sub-Committee for Research Students. If your review is successful your registration will be confirmed on the PhD retrospectively to the start of your initial registration with the University.

11. The Final Thesis

11.1 Submission of the Thesis for Final Examination

At all times you should consult with, and obtain feedback from, your supervisors. You are strongly recommended to obtain approval from your supervisors before submitting the thesis, however you can submit without it.

You should be aware that while your supervisors will of course note errors and the like as they read drafts, the final responsibility for presentational and production issues (spelling, grammar (etc) rests with you. You should not expect your Director of Studies to act as a proof reading service.

You should also note that your Director of Studies will advise you when you may be ready to submit. This is however, no guarantee you will be awarded the qualification.

11.2 Presentation of the Thesis

You should consult with your Director of Studies regarding the format and presentation of your thesis as this will vary between disciplines. You should look at previous theses to obtain ideas for the best overall format for presenting your research. The University of Surrey has no word limit for PhD theses. They should, however, be between 80,000 and 100,000 words including appendices and footnotes.

- You are reminded that the work you submit for assessment must be your own. All theses submitted for research degrees must carry include a signed Declaration of

Originality (<http://simmspace/prog-admin/research-students/Pages/Submission-of-Thesis-and-Viva-Voce.aspx>)

- The thesis must be written in English. It must include an abstract (approximately 300 words), must include a statement of objectives/aims and must acknowledge published or other sources of references consulted
- Where the work forms part of a collaborative group project, the thesis must indicate clearly your individual contribution and the extent of collaboration. Any published material must be mentioned in the thesis and copies of reprints etc placed in a secured pocket at the end of, or bound in, the thesis
- Before submission you should proof read the thesis carefully and pay particular attention to accurate reference lists
- You should submit three copies of the thesis for the examination and viva voce. A summary of the work (the abstract), not exceeding 300 words in length, must be included in each copy after the title page. You will be required to complete a submission of thesis form
- Guidelines on thesis formatting are available at <http://simmspace.smuc.ac.uk/prog-admin/research-students/Pages/Submission-of-Thesis-and-Viva-Voce.aspx>. The thesis should be typed on A4 size paper and it is recommended that a margin of 4 centimetres (1½ inches) should be maintained on the side of the paper which is to be bound
- All pages should be numbered. The title page should bear the approved title, your name, the name of the St Mary's University, the degree for which you are registered and the year in which the thesis or portfolio is presented. No alterations or additions may be made to a thesis or portfolio after it has been submitted except with the agreement of the examiners.

11.3 Continuing Student Status

Once you have completed your research and are putting finishing touches to your thesis you may consider applying, with the agreement of your Director of Studies and Head of School, to transfer to Continuing Student status for which a lower fee may be payable. You should only consider this if:

- you have very limited supervisory contact with your Director of Studies in connection with advice about, for instance, the practical details of thesis submission
- you are no longer using specialist University facilities.

You should not consider transferring if you are having frequent meetings with your supervisors, or if you require substantial advice on the nature or content of your research.

11.4 Examination Entry Form

Between two and six months before submission you should complete an Examination Entry Form. This will signal your intention to submit and provide time for the University and the University of Surrey to appoint appropriate Examiners for your thesis. Examination Entry forms are available to your Director of Studies via the Head of Research Services.

11.5 Appointment of Examiners

Your thesis will be considered by at least two examiners. The criteria for the examiners are as follows:

- at least one of the examiners must be external to and independent of the University; if you are a member of the academic staff of the University, at least two examiners must be external to and independent of the University

- none of the appointed examiners can have acted as your Director of Studies, or co-supervisor
- examiners will be experts in the field of your research, hold a senior academic appointment in a UK university and will not have had any relationship with you for the last five years
- examiners will have examined at least six theses in a similar field between them.

11.6 Binding

You may submit a thesis for examination in a temporary binding. After the examination the thesis must be permanently bound before the degree may be awarded. The permanent binding shall be in mid-blue cloth (550) and hard-backed. The degree, year and your name should appear on the spine. Whenever possible, subsidiary papers and other material should form part of the thesis but you may submit such material separately for consideration by the examiners - <https://www.surrey.ac.uk/appleseed/print/binding>

11.7 Doctoral Thesis Examination (viva voce)

Supervisors are not expected to be present at the closed viva voce examination but should endeavour to make themselves available for the conclusion of the examination when the verdict is given and any required corrections to the thesis are explained. In exceptional circumstances, students may make a written case to the Faculty Associate Dean (Doctoral College) to request that their supervisors attend the viva voce examination. The case must explain why the presence of the supervisors is necessary to ensure the effective and proper conduct of the examination. On the rare occasion that a supervisor is present at the examination they must not participate in the examination and may only speak at the behest of the chair.

11.8 The Format of the Viva Voce

The viva voce examination is concerned with the content of the thesis and any related matters which the examiners consider appropriate. You should expect to be questioned by your examiners on the focus of the research, existing literature, the methodology used, the conduct of the research, the outcomes and conclusions.

You should take along a copy of the thesis to the viva as you will need to refer constantly to it. The viva may take as little as one hour or last all day. Commonly, they last around 2-4 hours. You can save yourself much trouble if the thesis has been well presented and proof read.

After the viva, you will be asked to leave and the examiners will normally reach a recommendation, which they then put in writing. If your supervisors are present they will not take part in the discussions on the outcome of the examination. In most cases you will be asked to return and be informed of the decision.

11.9 Recommendations of the Examiners

Following their assessment of your thesis and the viva voce, the Examiners will make a recommendation to the University of Surrey. The recommendation will be one of the following:

- full and unconditional award of the MPhil or PhD degree
- award of the degree but with minor corrections permitted to be made to the thesis you have submitted within a period not exceeding more than one month

- award of the degree subject to specified corrections being made to the thesis you have submitted within a period not exceeding more than six months
- no award and no opportunity for resubmission
- no award of a degree but permission granted for you to re-submit your work by a specified date. Sometimes more research will be asked for. In other cases the examiners may require you to have a second oral examination
- sometimes a PhD candidate whose work is not considered to fulfil the criteria for this award may be awarded the degree of MPhil
- no award of MPhil, but permission granted for you to re-submit your work for this award by a specified date. Sometimes more research may be asked for. In other cases the examiners may require you to have a second oral examination.

Minor corrections should be completed as soon as possible and checked by the Internal/External Examiner. The thesis should be accompanied by the appropriate sign-off form from the Examiner stating that the corrections have been made to his/her satisfaction.

An electronic copy of the final PhD thesis should be sent to the Head of the Research Services at St Mary's and this will be submitted to St Mary's Online Research Archive.

11.10 Date of Award and Conferment

Your award will be formerly conferred at an awards ceremony at St Mary's University (held twice a year).

11.11 Appeals Procedures

If you are not satisfied with the outcome of your examination you may appeal to the University of Surrey.

http://www.surrey.ac.uk/learningandteaching/regulations/Contents/2013-14_section_g-part_1-regulations_for_academic_appeals_final.pdf

The Regulations prescribe the only acceptable grounds for appeal as:

- that the examination had not been conducted in accordance with the Regulations or there had been a material irregularity or omission in its conduct such that the result might have been affected
- that the student believed that performance in the examination had been materially impaired by ill health or other circumstances which the student had been unable, for valid reasons, to divulge to the Examiners
- that the student had reason to believe that one or more of the Examiners was prejudiced or biased.

If you wish to appeal you should write, detailing your grounds, to the St Mary's University Academic Registrar who will forward the appeal to the University of Surrey.

Section C

12. St Mary's Student Partnership Agreement

At St Mary's we are proud to promote an academic community which we hope you will feel part of. However, in order for this community to function it is important that all members play their part in it and are considerate of others. For this reason we have developed the St Mary's Student Partnership Agreement, in collaboration with the Students Union, which sets out what you are reasonably expect to receive from the University as a student. It does,

however, also confer responsibilities on you and it is important that these are observed for your benefit and that of the whole community. You should, therefore, ensure that you read it carefully and take your responsibilities seriously.

The Student Partnership Agreement is available at <http://simmspace.stmarys.ac.uk/prog-admin/student-charter/Pages/default.aspx>

13. Student Representation on Committees

- Students are represented on the University Research Committee which is responsible to the Academic Board for all matters concerning research and related scholarly activity within the University. If you wish to make a representation to the Committee, you should contact your Faculty PGR representatives whose contact details are available from your Faculty Doctoral Programme Lead or Research Services.
- Research students are also represented at individual Faculty Research Committees. If you are interested in being a student rep, please contact your Director of Studies or your Faculty Doctoral Programme Lead.

14. Ethics

The University Ethics Sub-Committee has produced a set of Ethical Guidelines . Please note any research project involving human participants is subject to ethical approval. You will need to refer to the guidelines if your field of research deals with human participants, material or data not in the public domain. In this instance it will be necessary for you to seek ethical approval prior to undertaking your studies. This should be discussed in detail with your Director of Studies.

The University has a three-tier system for ethical approval. Ethical guidelines and forms research are available at:

<http://simmspace.stmarys.ac.uk/prog-admin/ethics-integrity/Pages/Ethics-and-Integrity.aspx>

N.B The signed ethical approval must be included as an appendix to the submitted thesis.

15. Support for Disabilities / Additional Needs

The Disability Support Team is available to provide support and guidance for students with a wide range of disabilities, health conditions or specific learning difficulties (including dyslexia and dyspraxia). You are actively encouraged to contact the Disability Support Team as soon as possible to discuss your support needs in a friendly and confidential environment - <http://simmspace.smuc.ac.uk/services-students/student-wellbeing-service/Pages/default.aspx>

16. Academic Misconduct and Plagiarism

16.1 What is Academic Misconduct?

St Mary's University and the University of Surrey define academic misconduct or academic fraud as committing an act whereby the researcher knowingly and deliberately seeks to corrupt, misrepresent or to falsify the outcomes of academic and/or professional study, scholarship and/or research. St Mary's reserves the right to identify and define different forms of academic misconduct or fraud from time to time: however, as they relate to research, they are generally taken to include:

- misrepresentation of the work or expressed thoughts of others as one's own without permission or acknowledgement (plagiarism)
- fabrication of:
 - the results of work which he/she falsely claims to have undertaken (for example, experiments, interviews, observations or other forms of research and investigation)
 - results which he or she has not obtained
 - results by omission from analysis and publication of selected components of a data set
 - research dissemination (for example: false claims of publication of work).
- deliberate exploitation of ideas and concepts of others without acknowledgement
- cheating or otherwise disclosing information with the intent of gaining for oneself or for another an unfair advantage
- intentional damage to, or removal of, the research-related property of another
- 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.

Any allegation or complaint of academic misconduct or fraud in research will be investigated and dealt with by a Misconduct Review Panel according to the University of Surrey Regulations. If the allegations are proven, it will result in programme termination if identified prior to the examination or in a fail with no opportunity to resit if identified at the point of examination. A degree may be rescinded if an allegation is subsequently proven.

16.2 Referring to the Work of Others in the Thesis

It is essential that, wherever you are drawing upon the work of other people in your thesis, you make explicit references to the sources which you are using. This is so that your own contribution can be situated appropriately within its field, and so that your examiners can determine what is and what is not being presented as your own personal contribution to the field.

16.3 Plagiarism

Plagiarism is viewed as one of the most serious offences which can be perpetrated in an MPhil or PhD thesis. It will almost certainly result in the withholding of the degree (or in the revoking of the degree if the plagiarism is detected subsequent to the award of the degree). Plagiarism is the presentation of another person's ideas, words or work as if they were your own. Thus, direct quotations from the published or unpublished work of others in your thesis must always be clearly identified as such by being placed inside quotation marks, and a full reference to their source must be provided in the proper form. A series of short quotations from several different sources, if not clearly identified as such, constitutes plagiarism just as much as does a single unacknowledged long quotation from a single source. Equally, if you summarise another person's ideas or judgements, you must refer to that person in your text, and include the work referred to in your bibliography.

17. Complaints

It is expected that every effort will be made by the parties concerned to resolve an issue by mutual agreement.

The Complaints procedures are outlined in the Student Partnership Agreement:

<http://simmspace.stmarys.ac.uk/prog-admin/student-charter/Pages/default.aspx>. These cover issues relating to St Mary's University.

In recognition of the particular situation of doctoral research students the following procedures apply to grievances concerning the provision of your research supervision:

- Complaints should be taken up directly with your Director of Studies in the first instance, who will bring his/her best efforts to bear with appropriate University colleagues to resolve the matter with you, or on your behalf
- If the complaint cannot be resolved satisfactorily directly with or by your Director of Studies, you should write to the Faculty Doctoral Programme Lead or Associate Dean for Research & Enterprise
- In the event that the complaint arises from the working relationship with one of the supervisory team, the matter should normally be raised directly with another member of the supervisory team in the first instance with a view to resolving the matter
- If the case of dissatisfaction of your research supervision persists, you should approach the Faculty Doctoral Programme Lead or Associate Dean for Research & Enterprise, setting out in writing the difficulties which are unresolved as outlined in the Complaints Procedure. The Faculty Doctoral Programme Lead or Associate Dean for Research & Enterprise will discuss the matter with both the supervisor and with you. If a resolution cannot be found, the Faculty Doctoral Programme Lead or Associate Dean for Research & Enterprise may, inter alia, make arrangements for you to be assigned to another supervisor
- Where the supervisor is also the Faculty Doctoral Programme Lead or Associate Dean for Research & Enterprise, you should approach Research Services
- Research Services (or group established for the purpose) will consider the point(s) of grievance and will discuss it with the Faculty Dean.

If the difficulties remain unresolved you should refer to the University of Surrey's complaints procedure - https://www.surrey.ac.uk/currentstudents/study/complaints_appeals/.

It is expected that every effort will be made by the parties concerned to resolve an issue by mutual agreement.

18. Use of Personal Data

The University is registered under the 1998 Data Protection Act to collect and process your personal data. The data you have already supplied as a result of your application and registration process, together with your photographic image will be stored on St Mary's University databases used to administer your studies and any related fees, the Learning Resources Centre and the Security system. Your Director of Studies and supervisors will also be able to access data on your personal details, your previous qualifications and also your performance to enable them to process your studies. Throughout your studies St Mary's will collect and maintain other personal data such as details of your academic performance, reports on your performance and any information relating to your health or well-being which you provide for purposes of the assessment process, or if you seek help from your tutor or Student Services. All data will be used only to undertake the administration required in relation to your status as a student. You will be able to check such data annually through the Registration process.

The University is required to pass some of the information to third parties and will normally only do this if it is required to do so by Government Agencies. The only other reason we

would pass on information or discuss your situation would be to protect your vital interests when we may need, for example, to contact your next of kin in the event of an emergency. Following the successful completion of your studies, information regarding your degree will be passed to the University of Surrey and published in the Surrey Gazette. The University of Surrey will also be provided with a limited set of information so that it is aware of individuals to whom it has awarded a degree. Basic information will be passed to the Alumni Officer who may contact you to find out whether you are interested in joining the Alumni Association. The University Data Protection Policy is on the University intranet at <http://simmspace/prog-admin/registry-policies/Pages/Data-Protection.aspx> If you would like to have further information about the University's Data Protection Policy, you should contact the Registrar.

19. Data held by the Higher Education Statistics Agency

We will send some of the information we hold about you to the Higher Education Statistics Agency (HESA). This information forms your HESA record, which does not include your contact details.

The HESA record is used for three broad purposes:

1. Statutory functions

The HESA record is used by the organisations listed below, or agents acting on their behalf, to carry out their public functions connected with education in the UK.

- Department for Business, Energy and Industrial Strategy
- Welsh Assembly Government
- Scottish Government
- Department for Employment and Learning, Northern Ireland
- Office for Students
- Higher Education Funding Council for Wales
- Scottish Further and Higher Education Funding Council
- Training and Development Agency for Schools
- Research Councils
- Department for Education

The HESA record may also be used by the Office for National Statistics and the National Audit Office to fulfil their statutory functions of measuring population levels and monitoring public expenditure.

Equivalent and Lower Qualifications – This applies only to students enrolling at institutions in England: We and the Office for Students may compare your data to educational records from previous years to help determine the levels of your current qualifications. This may in turn affect the fees you are required to pay.

Your HESA record will not otherwise be used in any way that affects you personally.

2. HESA publications

HESA use the HESA record to produce anonymised data in annual statistical publications.

These include some National Statistics publications and online management information services.

3. Research, equal opportunity, journalism, other legitimate interest/public function

HESA will also supply anonymised data to third parties for the following purposes:

- Equal opportunities monitoring – Your HESA record may contain details of your ethnic group and any disabilities you have. For students domiciled from Northern Ireland and attending an institution in Northern Ireland it may also contain information about religion. This data is only used where it is needed to promote or maintain equality of opportunity or treatment between persons of different racial or ethnic origins, religious beliefs or different states of physical or mental conditions
- Research. This may be academic research, commercial research or other statistical research into education where this is of benefit to the public interest.
- Journalism, where the relevant publication would be in the public interest e.g. league tables

Anonymised data for the above purposes is supplied by HESA to the following types of user:

- Local, regional and national government bodies who have an interest in higher Education
- Higher education sector bodies
- Higher education institutions
- Academic researchers and students
- Commercial organisations (e.g. recruitment firms, housing providers, graduate employers)
- Unions
- Non-governmental organisations and charities
- Journalists

HESA will take precautions to ensure that individuals are not identified from the anonymised data which they process.

Your rights

Under the Data Protection Act 1998, you have rights of access to the data HESA holds about you. You will have to pay a small fee for this. For further information about the HESA record please see www.hesa.ac.uk/dataprot or email data.protection@hesa.ac.uk

20. Freedom of Information

St Mary's, as a public body, is required to make information it holds open to the public. A full list of the information it publishes is contained in its Publication Scheme (Freedom of Information) which is available at: <https://www.stmarys.ac.uk/about/corporate-information/freedom-of-information.aspx>

21. Data Protection

St Mary's collects information about all our staff and students for the purposes of administration, statutory reporting requirements and for health and safety reasons. The University cannot effectively operate without processing the information about you which you have provided either through your application, the registration process or any information which you may provide whilst you are a student. Under the 1998 Data Protection Act we need your consent to process this information which is referred to as 'personal data'. A statement has therefore been included on the Registration form for you to provide your consent.

22. Subject Access Request

You are entitled to request to see all data held on you by St Mary's, both centrally and by your research area(s). A fee will be charged each time you wish to make such a request. Guidance can be found at <http://simmspace/prog-admin/registry-policies/Pages/Data-Protection.aspx>

Code of Practice for Research Degree Programmes

Contents

| | |
|-----------|--|
| 1 | Scope, Aims and Objectives of the Code |
| 2 | The Nature and Duration of a Research Programme |
| 3 | General Administrative Arrangements for Doctoral Research Students |
| 4 | Appointment and Responsibilities of Research Supervisors |
| 5 | Admission and Initial Registration |
| 6 | The Research Project |
| 7 | Student Information and Induction |
| 8 | Academic Misconduct and Plagiarism |
| 9 | Fitness to Practise |
| 10 | Responsibilities of Doctoral Research Students |
| 11 | Development of Doctoral Research Students |
| 12 | Teaching Activities |
| 13 | Monitoring of Student Progress |
| 14 | The PhD Confirmation Process |
| 15 | Preparation of the Thesis |
| 16 | The Final Examination |
| 17 | Complaints Procedure |
| 18 | Appeals Procedure |

This Code of Practice is intended for staff and doctoral research students at St Mary's University registered for a University of Surrey award of MPhil/ PhD.

1 SCOPE, AIMS AND OBJECTIVES OF THE CODE

- 1.1 This Code sets out St Mary's policy and procedural framework relating to research degrees of MPhil and PhD and should be read in conjunction with the General Regulations for the Degrees of Master of Philosophy (MPhil), Doctor of Philosophy (PhD) by Research and Thesis or Portfolio for Students Registered With Specified Institutions of Higher Education Associated with the University of Surrey - <http://simmspace.stmarys.ac.uk/prog-admin/research-students/Pages/Regulations.aspx>
- 1.2 The aims of this Code are:
- to ensure that doctoral research students at St Mary's are effectively supervised so that the full potential of their research ability may be achieved and their research completed within an appropriate period
 - to ensure that students and staff have a common understanding of their respective roles and responsibilities
 - to promote policies and procedures which protect the academic standards of the University of Surrey's research degrees offered by St Mary's.
- 1.3 The objective of this Code is to define a set of standard procedures and specific responsibilities covering the academic supervision, administration, and assessment of research degrees within St Mary's University.
- 1.4 This Code has been informed by a number of external advisory bodies, and is designed to be consistent with [Quality Assurance Agency for Higher Education Quality Code for Higher Education Chapter B11](#).

2 THE NATURE AND DURATION OF A RESEARCH PROGRAMME

2.1 In selecting a research project, the scope of the project should be such that it should be achievable by a capable, suitably qualified and diligent student, who is properly supported and supervised, within 36/48 months of full-time study (72/96 for part-time study) for an MPhil/PhD respectively, or within a timeframe set by any sponsor (e.g. Research Council). The minimum and maximum periods of study for both full- and part-time students are prescribed by the Regulations

2.2 MPhil

An MPhil thesis should be an original piece of work of around 40,000 words or equivalent on a subject approved by the University's Sub-Committee for Research Students. It is normally completed in two years of full-time study or four years part-time.

An MPhil must pose a clear question, devise an appropriate methodology and reach a significant conclusion. In it the student will have to demonstrate that they know how to conduct research at an advanced level in their chosen field, construct a complex argument and marshal a substantial body of evidence to support it. They will have to show that they are aware of what is going on at the forefront of their discipline - the most important advances, insights, theories and methodologies - and are able to evaluate and critique it. The thesis should embody the results of a well-designed research programme or consist of an ordered and critical exposition of existing knowledge in a well-defined field.

A student, on successful completion of the MPhil should have learned how to:

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

2.3 The PhD

A PhD thesis should be an original piece of work normally in the region of 80,000 words and no more than 100,000 words or equivalent on a subject approved by the University's Sub-Committee for Research Students. Students should consult their Director of Studies for guidance on appropriate wordage for their chosen discipline. It is normally completed in three years of full-time study or six years part-time.

The PhD thesis should have all the qualities of an MPhil, and more. Where it differs, is that it should be a major contribution to knowledge. It is also normally about twice the length which means that the student has to compose on a larger scale, present and interpret greater quantities of data, or marshal more complex arguments. The PhD demands higher levels of originality and scholarship than the MPhil. It has to stand at the forefront of its discipline, to break new ground and to demonstrate a comprehensive and critical understanding of the latest advances in its field.

To write a successful PhD the student will have to be able to conceptualise, design and implement a major project which will result in the generation of significant new knowledge and/or understanding of their chosen subject.

A student on successful completion of the PhD should have learned how to:

- make informed judgements on complex issues in specialist fields, often in the absence of complete data, and be able to communicate their ideas and conclusions clearly and effectively to specialist and non-specialist audiences
 - analyse complex problems, and conceive, design and implement projects which will solve them
- continue to undertake research at an advanced level, contributing substantially to the development of new techniques, ideas, or approaches.

3 GENERAL ADMINISTRATIVE ARRANGEMENTS FOR RESEARCH STUDENTS

3.1 Sub-Committee for Research Students

3.1.1 The Sub-Committee will exercise overall responsibility for the welfare and academic progress of the research students in the University. In particular, the Sub-Committee is responsible for ensuring that the requirements set out in this Code are followed and that the procedures for the selection of supervisors and monitoring of progress of students are strictly observed.

3.1.2 Within this overall remit detailed responsibilities of the Sub-Committee are:

- (i) to consider and approve all applications for admission to research programmes on behalf of the University to University of Surrey
- (ii) to consider and approve the nomination of all Director of Studies, Co-Supervisors and Moderators
- (iii) to consider nominations for all examiners for approval by the University of Surrey
- (iv) to monitor the annual review, research training and supervision
- (v) to consider and approve all applications for transfer from MPhil to PhD
- (vi) to ensure compliance with relevant University policies on equal opportunities and additional support needs
- (vii) to ensure compliance with academic infrastructure and Code of Practice
- (viii) to make recommendations to the University Research Committee on policy and procedures in respect of research students.

3.1.3 All decisions under i, ii, iii and v are subject to the approval of the University of Surrey and will be submitted to the University for final approval once the Sub-committee is satisfied.

3.2 Head of Research Services

3.2.1 The Head of Research Services, is responsible for managing the research degree programme. As Chair of the Sub-Committee for Research Students they have a key role in:

- the admissions procedure for research students
- the overview of research student progress
- the PhD confirmation of registration procedure
- the nomination of external examiners
- monitoring the outcome of the examination process
- production of the annual report of research students to the University of Surrey
- the overall welfare of students within the University
- research training for students and supervisors

3.3 Student representation on committees

- 3.3.1 The interests of research students are represented on the University Research Committee. Discussions of individual student or supervisor performance are confidential and are dealt with under reserved business when student representatives are not present.
- 3.3.2 The interests of research students at individual school level are represented through membership on the Faculty Research Committee or equivalent.

3.4 Annual Review of the Research Degree Programme

- 3.4.1 The Head of Research Services conducts a review and prepares a report on an annual basis, evaluating student progress and awards and addresses quality assurance, resources, staff development or other issues emerging through the student monitoring process. The report also addresses any feedback from students, external funding bodies and employers, where applicable. The review takes account of:
- doctoral research student registrations
 - academic progression
 - PhD completions and awards
 - general issues, if any, arising from reports from external examiners and moderators
 - issues raised by students with supervisors, through the University Research Committee or in student annual reviews
 - any issues arising which have resource implications for the support of research students.

3.5 Promotional Information

- 3.5.1 All publicity materials associated with postgraduate research programmes (including web pages) should be clear, accurate and of sufficient detail to enable prospective students to make informed choices.

3.6 Student Files

- 3.6.1 Student files will be kept in the Registry and will contain information relating to the students' background, any relevant personal issues and academic performance (e.g. progress monitoring report forms). Files will be secure and will be available only to relevant academic staff and other authorised personnel on request. Records held on a computer database are backed-up regularly. All such data conforms with the guidelines of the Data Protection Act and GDPR.

3.7 Supervisory Record

- 3.7.1 In addition to the main student file, the student, Director of Studies and Co-supervisors will maintain a record of supervision sessions, reviews of written work and other communications related to the supervisory process.

4 APPOINTMENT AND RESPONSIBILITIES OF RESEARCH SUPERVISORS

4.1 Appointment of the Supervisory Team

- 4.1.1 St Mary's University will appoint a supervisory team for each student which comprises at least two supervisors. The University appoints two types of research supervisor as follows:

- Director of Studies
- Co-Supervisor (more than one may be appointed for a multi-disciplinary project).

All students will have at least a Director of Studies and a Co-Supervisor.

- 4.1.2 At least one member of the supervisory team must have supervised, as a team member, a student through to successful completion of at least one PhD.
- 4.1.3 There must be one clearly identified point of contact between the student and the supervisory team and between the team and the University. This will normally be the Director of Studies.
- 4.1.4 Supervisors are required to have undertaken training prior to their first appointment as supervisor either through an organised workshop or a one-to-one with Research Services at St Mary's.
- 4.1.5 In addition to the supervisory team, the University of Surrey will appoint a Moderator for students registered at St Mary's.

4.2 Director of Studies

- 4.2.1 The Director of Studies is responsible for the overall direction of the student's programme of study and research towards a University qualification and for the development of the student's related understanding and skills and general progress (see below). He/she will also have a responsibility for the administration related to the student's programme of study and is the initial contact for any pastoral issues.

4.3 Appointment of Director of Studies

- 4.3.1 The Head of Research Services is responsible on behalf of the Sub-Committee for ratifying the appointment of a Director of Studies for each research student. The appointment must have the approval of the Faculty Dean/Associate Dean for Research and Enterprise.
- 4.3.2 Appointment as Director of Studies will cease if the appointee ceases to hold an appointment as defined below, although it may be desirable in appropriate

circumstances for him/her to remain as a Co-Supervisor on the supervisory team. A new Director of Studies will then be appointed.

4.3.3 Where research projects involve more than one School the student should be allocated to the School of the Director of Studies for administrative purposes. Where appropriate, one or more co-supervisor(s) should be appointed from the other participating School.

4.3.4 Changes to the supervisory team should be kept to a minimum to ensure that a student's studies are not unnecessarily disrupted. The Faculty Dean/Associate Dean for Research and Enterprise in conjunction with the Faculty Programme Lead, is responsible for appointing appropriate and adequate supervisory cover in the event of the absence of the Director of Studies (e.g. sabbatical leave or on health grounds). In some instances it may be appropriate for an eligible Co-Supervisor to fulfil the role of Director of Studies; in other instances, however, substitution of a new Director of Studies will be necessary (e.g. if the Co-Supervisor is on probation, and therefore does not fulfil the eligibility requirements). Any such cover arrangements should be monitored regularly. The student must be kept informed by the Faculty at all times of the arrangements for supervision.

4.4 Eligibility of Director of Studies

4.4.1 The Director of Studies:

- i must be an academic member of the St Mary's University's staff
- ii must have supervised at least one student to successful completion
- iii must have an expectation of holding the appointment with the University for at least the minimum period of the student's registration
- iv must be an active researcher in an area relevant to the student's field of research and possess relevant subject expertise; possession of a research degree is desirable but is neither a necessary nor sufficient criterion for successful research supervision and appointment as Director of Studies.
- v Staff on probation are not eligible to serve as Director of Studies but may serve as Co-Supervisors.

4.5 Responsibilities of the Director of Studies

4.5.1 The Director of Studies is responsible for:

- i the overall direction and development of the student's programme of study and research and student welfare
- ii providing the student with guidance about the nature of research; about planning the research programme realistically, about the availability of and access to literature and other sources of information and about the difficulties associated with fraudulent misrepresentation of research, plagiarism and acknowledgement of the work of others

- iii discussing, agreeing and recording with students, at an early stage of their period of study, a programme of support and training designed specifically for the student's particular needs and the area of research
- iv clarifying and agreeing with the student and their Co-Supervisor the boundaries of the relative responsibilities towards each other and appropriate lines and means of communication
- v advising the student on the financial viability of the research project
- vi ensuring that the student is aware of their responsibilities in terms of health and safety in general and particularly in relation to the School and, where appropriate, the requirements of the research programme;
- vii. ensuring that the student is aware of their responsibilities in terms of ethics and ethical behaviour in research
- viii arranging a programme of contact, at least once a month, with the student in order to maintain effective oversight of the research project
- ix giving the student detailed advice on the various stages of their work, completion dates and requirements to ensure that the student progresses through the project and submits the thesis (or equivalent) within a mutually agreed timescale
- x requesting written work in order to discharge his/her responsibilities for the student's successful progression and for consideration of confirmation of PhD registration, where appropriate. Written work should be returned in a reasonable time with constructive, written criticism (normally within four weeks of submission)
- xi arranging, as part of the student's research training, opportunities for the student to present their work and interim results to graduate and/or staff gatherings
- xii making sure that the student is kept fully aware of their progress, in particular, where their progress gives cause for concern or if the standard of work falls below that generally expected. (Students should be informed in writing of any serious concerns, together with guidance on what action(s) would be appropriate to address those concerns with an associated timescale)
- xiii making sure that the student is made aware of the opportunities available for their professional skills development
- xiv work with the student, to maintain a record of personal progress, which includes reference to the development of research and other skills;
- xv agreeing with the student arrangements for the confirmation of PhD registration process
- xvi arranging the confirmation meeting – including arranging for and inviting the two assessors, informing Research Services of the date of the meeting and submitting the relevant paper work

- xvii supporting the student during the confirmation meeting
- xviii supporting and preparing the student for the final examination
- xix advising the student where to seek professional help if they encounter language difficulties, particularly in instances where English is not their first language
- xx conducting the interim and annual progress reviews as required
- xxi ensuring that, if the student's research is linked with a research contract, their interests are safeguarded to ensure reasonable progress towards their higher degree
- xxii where appropriate, overseeing probationary staff acting as co-supervisor and ensuring they become familiar with all aspects of postgraduate research supervision and thus ensuring they develop as effective supervisors in their own right
- xxiii keeping records as required within the University, including a record of each contact with their research students, and to conform with institutional requirements for the demonstration of good supervision.

4.6 Co-Supervisor

4.6.1 A Co-Supervisor is responsible for assisting the Director of Studies in directing the student's programme of study and research (for example, where he/she has specialist expertise and/or where the research extends across two or more Schools/disciplines.

4.6.2 External Co-Supervisor

If an appropriate co-supervisor cannot be appointed from within the University, an external co-supervisor may be appointed, (subject to approval by the Sub-Committee for Research Students and the University of Surrey).

The external co-supervisor would normally be expected to commit to approximately 6-12 hours direct contact time per annum (equivalent to six sessions of 1-2 hours of supervision).

4.7 Appointment of Co-Supervisor

4.7.1 The Faculty Associate Dean for Research and Enterprise in conjunction with the Doctoral Programme Lead is responsible for the appointment of Co-Supervisors.

4.7.2 The appointment of a Co-Supervisor may not necessarily cease if the appointee ceases to be a member of the University staff.

4.8 Eligibility of Co-Supervisor

4.8.1 The Co-Supervisor should be appointed from among the following:

- full- or part-time member of the University academic staff (including those in their probationary period)

- a member of another Higher Education institution or organisation with expertise appropriate to the student's programme of study and research, where there are good reasons to include them.

4.8.2 A Co-Supervisor must have appropriate knowledge and should normally be an active researcher in an area relevant to the student's field of research. Possession of a research degree is neither a necessary nor sufficient criterion for successful research supervision and for appointment as Co-Supervisor.

4.9 Responsibilities of Co-Supervisor

4.9.1 The Co-Supervisor is responsible:

- i to the student's Director of Studies for guiding students on particular aspects of the programme of study and research, where he/she has specialist expertise and/or where the research extends across two or more Schools/disciplines
- ii in collaboration with the Director of Studies, for providing students with guidance about the nature of research and the standards expected; about planning the research programme realistically, about the availability of and access to literature and other sources of information, and about the difficulties associated with fraudulent misrepresentation of research, plagiarism, and acknowledgement of the work of others
- iii for arranging with the student and the Director of Studies, a programme of regular meetings and contact in order to maintain effective oversight and co-ordination of the student's research project
- iv for making him/herself available at other appropriate times, when students may require specific guidance or advice
- v for giving students detailed advice on the various stages of their work, completion dates and requirements with the purpose of helping them to progress through the project and to submit the thesis (or equivalent) within a mutually agreed timescale
- vi in collaboration with the Director of Studies, for requesting written work from the student and for considering suitable arrangements for the confirmation of PhD registration, where appropriate. Written work should be returned in a reasonable time with constructive, written criticism
- vii in collaboration with the Director of Studies, for making sure that students are kept fully aware of their progress and, in particular, if their progress gives cause for concern or if the standard of work falls below that generally expected.

4.10 Role of Moderator

In addition to one or more supervisors, a Moderator, external to St Mary's University, will be appointed by the University of Surrey for each research degree candidate. The main function of the Moderator is to "report to the University on the appropriateness of the programme of research, the resource base (staff and facilities)

and arrangements for monitoring student progression” [reference para 1.5 General Regulations of the University of Surrey for the Degrees of Master of Philosophy and Doctor of Philosophy by Research and Thesis or Portfolio].

4.10.1 The Moderator is expected to:

- complete or agree the content of a report on the suitability and availability of facilities
- endorse any recommendation from the Dean of Faculty/Associate Dean of Research and Enterprise for a change of supervisor or appointment of an additional supervisor (to be reported by the Sub-Committee for Research Students at St Mary’s to the University Research Degrees Sub-Committee)
- receive, for information and comment, progress reports from the Director of Studies including the annual report on the anniversary of the student’s registration
- consider with the supervisor(s) whether a recommendation should be made to terminate a student’s registration where academic progress has been unsatisfactory, provided that the student has been given written notice of such dissatisfaction by the Sub-Committee for Research Students at least 3 months previously
- receive confirmation of continuation of a student’s registration for Doctor of Philosophy in accordance MPhil to PhD

The Moderator would not be present at the examination of a research degree candidate viva voce.

4.10.2 When considering the candidate’s application for research registration, the Moderator will consider:

- the outline proposal which should demonstrate that the candidate is familiar with the subject and that the study has direction and is suitable for MPhil study (and for transfer to PhD where appropriate)
- the suitability of the environment for research
- arrangements for satisfactory supervision
- provision for training and formal courses in research supervision
- access to suitable library, computing, technical and other facilities as required by the research project.

4.10.3 In addition to their role in the approval of the research project, the Moderator will:

- make contact with the candidate’s Director of Studies as necessary and appropriate
- receive notification of confirmation of the candidate’s registration to PhD
- liaise with the Director of Studies as to what they may require to satisfy their role in addition to the standard expectations as outlined above.

4.11 Appointment of Moderator

The Moderator will be nominated by the Director of Studies and approved by the Faculty Dean. The University of Surrey will grant final approval of the appointment and notify the Moderator directly.

4.12 Eligibility of Moderator

4.12.1 The Moderator will be identified by the Director of Studies and should:

- be a knowledgeable in the field of the research project
- have experience of PhD research supervision to successful completion in the same or allied field of study as the research project
- be a member of academic staff at a UK institution of higher education but not St Mary's University.

4.10.6 The Moderator may be appointed from the staff of the University of Surrey.

5 ADMISSION AND INITIAL REGISTRATION

5.1 Pre-Registration

5.1.1 Prospective applicants may be required to pre-register with the University. The pre-registration period is designed to enable students to develop their research proposals with the assistance of the proposed Director of Studies and the use of St Mary's University resources. All applicants should be interviewed by the prospective Director of Studies and two further member of academic staff from the Faculty to which they are applying and the application subsequently be approved by the Associate Dean of Research and Enterprise via the Faculty Research Committee. The pre-registration period will last for a maximum of six months.

5.2 Full Registration

5.2.1 If pre-registration is not required, an application for full registration is made through St Mary's to the University of Surrey. The information required to scrutinise a proposal is as follows:

- The title of the proposed project
- The research proposal which should specify the nature of the research question which the study aims to examine, a discussion of the relevant literature, a discussion of the possible methodologies to be used in order to illustrate the nature of the research and an indicative bibliography
- Ethical implications, resources required and costs likely to be incurred
- The curriculum vitae of the supervisory team and the Moderator
- A report from the Moderator
- Two references for the student (referees should be asked to comment on the suitability for a student for MPhil/PhD study and confirm that the student is suitably qualified in the proposed field of study).

5.2.2 Applicants will be expected to hold appropriate academic qualifications and/or experience. The general entrance requirements are defined in the relevant general regulations- http://www.surrey.ac.uk/learningandteaching/regulations/Contents/2013-14_section_c-regulations_mphil_phd_md.pdf

5.2.3 Prospective students should be interviewed by three people, experienced in the proposed field of research prior to admission and registration. It is recognised that this may not be possible or practicable, such as in the case of international students, where a telephone or Skype interview should be conducted. Two references should be taken up before an offer is made.

5.2.4 Applicants will be required to satisfy the Sub-Committee of their ability to understand and communicate in both written and spoken English that is adequate for the purposes of pursuing the programme. The minimum level for entry for a PhD programme is IELTS 6.5.

- 5.2.5 In line with University of Surrey Regulations, St Mary's has regulations which govern students' fitness to practise, particularly in relation to those programmes which incorporate one or more period(s) of professional or clinical practice and for which individuals are expected to adhere to a code of professional behaviour or conduct.
- 5.2.6 Admissions decisions will involve the judgement of the prospective Director of Studies and the Faculty Programme Lead and are subject to the approval of St Mary's Research Student Sub-Committee and the University of Surrey. The Moderator's views of the suitability of the proposal will also be considered.
- 5.2.7 The Sub-Committee is responsible for making a formal decision on the prospective student's application, subject to the approval of the University of Surrey. In making this decision the Sub-Committee will assure itself that appropriate facilities and supervisory staff are available to support the research proposal and that there are adequate funds available. It is recognised in this context that research proposals develop and change over time.
- 5.2.8 Where supervision is provided by more than one Faculty, the decision to admit a student should have the written endorsement on the application form of all relevant Faculties. Prior permission to use any equipment or other facilities in both Faculties will also need to be obtained as part of this process.
- 5.2.9 Following approval by the University of Surrey, a formal offer letter will be issued to successful applicants by St Mary's. The offer letter will set out the terms and conditions on which the offer is made.
- 5.2.10 The Director of Studies should advise the student, before they commence their research project of the following:
- the name and contact details of the Director of Studies and any Co-Supervisor
 - the title or brief outline of the proposed research project
 - the terms and conditions of any sponsorship connected with or administered by the Faculty
 - Web or other references for any other University/Faculty-specific information that the student should peruse.
- 5.2.11 As part of the registration procedure, students will be required to sign the registration form confirming that they will comply with the St Mary's University Regulations.
- 5.2.12 Doctoral Research student applications will be subject to the University's procedures on declared criminal convictions.

6 THE RESEARCH PROJECT

6.1 Ethical considerations for projects using human volunteers

- 6.1.1 All research projects must conform to 'The Universal Declaration of Human Rights and the Covenants on Human Rights' (UN General Assembly, December 2004) and

with the University's Ethical Guidelines. Researchers are also required to observe the ethical guidelines advocated by their own professional or statutory body.

- 6.1.2 Any research involving human participants must be subject to ethical consideration and approval. It is the responsibility of the Director of Studies to ensure that students are aware of the Ethical Guidelines and that the Ethical Guidelines are observed - <http://simmspace.stmarys.ac.uk/prog-admin/ethics-integrity/Pages/Ethics-and-Integrity.aspx>

6.2 Insurances

- 6.2.1 The University's Legal Services team should be advised about any projects which might involve significant risk for insurance purposes.

6.3 Data Protection Act

- 6.3.1 All research projects are subject to the Data Protection Act 1998 and the handling, storage or processing of all personal data must be conducted in accordance with the University's registration under the Act. The express authority of the Head of School must be obtained for such data to be held or processed. Heads of Schools who give permission to their students to hold or process personal data by electronic means are themselves responsible for ensuring that the activity complies with the University's registration and the Data Protection Policy and guidelines.

6.4 Intellectual Property

- 6.4.1 While the copyright of the thesis belongs to the author, a student is required to assign to the University any intellectual property rights (whether patentable or otherwise) that the student is considered to have acquired whilst studying at the University in return for a fair proportion of any net receipts in accordance with the terms of the University's Financial Regulations – <http://staffnet/Governance/corporate-documents/Corporate%20Documents/Intellectual-Property-Rights-Policy.pdf>
A student may, however, be subject to a specific agreement with the student's sponsor concerning the assignment of intellectual property rights to the sponsor.

7 STUDENT INFORMATION AND INDUCTION

7.1 Information

The University will publish a Research Student Handbook and Code of Practice which is issued to all postgraduate research entrants, and is available on the University website. The Handbook is designed to serve as a general guide to the University and will, for example, include information on:

- the University's procedures for monitoring and recording student progress
- registration procedures
- academic support facilities
- guidance on the preparation and presentation of research theses

- student support services
- University complaints procedures
- University's procedure for termination of registration on the grounds of unsatisfactory academic progress.

7.2 Induction

- 7.2.1 Students receive an appropriate induction shortly after they commence their research programme. They should be acquainted with University facilities (including those of the Students' Union) and student support services and given sufficient information to allow them to start their work, including details of any administrative requirements.
- 7.2.2 Students receive a copy of the Code of Practice and Research Student Handbook during their induction.
- 7.2.3 Students should receive appropriate health and safety training if relevant to their field of work.
- 7.2.4 Doctoral Research students should be given the opportunity to meet a range of Faculty staff and a range of other research students.

8 ACADEMIC MISCONDUCT AND PLAGIARISM

- 8.1 The University defines academic misconduct or academic fraud as committing an act whereby the researcher knowingly and deliberately seeks to corrupt, misrepresent or to falsify the outcomes of academic and/or professional study, scholarship and/or research. The University reserves the right to identify and define different forms of academic misconduct or fraud from time to time: however, as they relate to research, they are generally taken by the University to include:
- (i) misrepresentation of the work or expressed thoughts of others as one's own without permission or acknowledgement (plagiarism)
 - (ii) fabrication of:
 - results of work which he/she falsely claims to have undertaken (for example, experiments, interviews, observations or other forms of research and investigation)
 - results which he or she has not obtained or has obtained but in a context different to that claimed
 - results by omission from analysis and publication of selected components of a data set
 - research dissemination (for example: false claims of publication of work).
 - (iii) deliberate exploitation of ideas and concepts of others without acknowledgement
 - (iv) cheating or otherwise disclosing information with the intent of gaining for oneself or for another an unfair advantage

- (v) intentional damage to, or removal of, the research-related property of another
- (vi) 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.

Any allegation or complaint of academic misconduct or fraud in research will be investigated and dealt with in accordance with the University of Surrey Regulations

If the allegations are proven, it will result in programme termination if identified prior to the examination or in a fail with no opportunity to resit if identified at the point of examination. A degree may be rescinded if an allegation is subsequently proven.

8.2 In order to provide appropriate guidance to students and to obviate misunderstanding, the University will include in the Research Student Handbook guidance to all students on what constitutes plagiarism and other forms of academic misconduct. Guidance will make clear the seriousness with which the University regards the matter and that the discovery and confirmation of such academic misconduct will have serious consequences. Ignorance by students of such matters should not be a defence.

8.3 In particular, it is in the interests both of the students and the University to take all reasonable steps to advise students on the protocols associated with the use and citing of the ideas and words of others, including those of fellow students.

8.4 Students are reminded that the work they submit for assessment must be their own. To this end the following points should be noted:

All theses submitted for research degrees must carry the following statement of originality signed and dated by the student:

- i. This thesis and the work to which it refers are the results of your own efforts. Any ideas, data or text resulting from the work of others (whether published or unpublished) are fully identified as such within the work and attributed to the originator in the text, bibliography or footnotes
- ii. This thesis has not been submitted in whole or in part for any other academic degree or professional qualification at this or any other institution.
- iii. Any chapters that describe the outcomes of joint research should be clearly identified as such with a statement inserted as a footnote on the first page and contributors named. Significant data, images or text resulting from the input of other researchers should be identified as such and attributed to the persons concerned by means of a footnote within the chapter.
- iv. It is usual to acknowledge the help and guidance of others who have assisted you during your research and preparation of your thesis. Such acknowledgements do not replace or obviate the need for individual attribution as discussed in points 1 and 3.
- v. The University reserves the right to submit electronic versions of your draft documents for assessment of plagiarism using electronic detection software such as 'turnitin'. In addition, whether or not drafts have been so assessed, the University

reserves the right to require an electronic version of the final document (as submitted) for assessment.

The Declaration of Originality document is available at:

<http://simmspace/prog-admin/research-students/Pages/Submission-of-Thesis-and-Viva-Voce.aspx>

9 FITNESS TO PRACTISE

- 9.1 The University recognises that in conferring appropriate academic qualifications, where these lead to a professional qualification, admission to a professional body and/or statutory registration, it must be satisfied that the student will be a safe and suitable entrant to the given profession. Because of their responsibilities to the general public, students following such programmes should demonstrate high standards of conduct and behaviour and must be physically and mentally fit to undertake the demands of their profession. The University will be guided by the professional standards and guidance on health matters provided by relevant professional bodies and by its statutory duties under the Disability Discrimination Act or any subsequent applicable legislation.

The University Fitness to Practise policy is available at:

<http://staffnet/Governance/corporate-documents/Corporate%20Documents/Fitness-to-Practise-Policy.pdf>

It sets out the policy for student behaviour in relation to professional practice and procedures to be followed where a student is considered to have acted in a manner that makes them unfit to practise in their chosen profession.

10 RESPONSIBILITIES OF RESEARCH STUDENTS

- 10.1 Research Students have the following responsibilities:

to themselves:

- i to take responsibility for the progress of their research, ensuring that it is completed within any agreed timeframe and to seek guidance from their supervisory team to resolve difficulties, as necessary
- ii to ensure that they have regard for the safety of themselves and others and to make themselves familiar with the University's Safety Policy.
- iii as a guideline, to work the equivalent of at least a normal 40 hour week as full-time students; a 20 hour week as part-time students. Research projects should be designed to fit within this constraint. However, it is accepted that some out of hours working will always be required; students should not be expected routinely to work overly long hours. Schools should take steps to ensure that any cases where the working week regularly exceeds 55-60 hours for full-time students are detected and addressed by the Head of School or Director of Studies. In particular matters of student choice and safe working

must be considered. Where holiday entitlement is not specified by a sponsor, students should take no more than six weeks leave per year.

to their supervisors to assist them to carry out their duties:

- iv to discuss the supervisory relationship with their Director of Studies at the earliest opportunity so that they understand their respective roles and obligations and to clarify any aspects which they do not fully understand
- v to discuss with their Director of Studies the type of guidance and comment they would find most helpful, the aims and objectives of the research and suitable background reading
- vi to discuss with their Director of Studies any financial aspects of funding the research project
- vii to keep the supervisor(s) fully informed of developments in the research and to deviate from agreed aims and objectives only by agreement
- viii to take the initiative in raising with their supervisors any problems or difficulties which they encounter
- ix to ensure that they attend agreed scheduled meetings and maintain the progress of their work in accordance with the stages agreed with their Director of Studies
- x to submit written progress reports to their supervisors at their direction by the specified deadlines, and at least every six months (see below)
- xi to discuss with their Director of Studies arrangements for applying for confirmation of registration for PhD , if appropriate, and for the submission of their thesis for either award (MPhil or PhD), with the aim to resolve any difficulties or issues of concern
- xii to agree the authorship and content of work for publication (e.g. journal articles) with their Director of Studies before submitting it for publication and to formally acknowledge the input of supervisors (and others, if applicable) and, where applicable, funding sources in any published research undertaken while a research student at the University. Individual Faculties may have a policy on the authorship of journal articles.
- xiii both student and supervisor should endeavour to submit within 48 months for full-time (or 96 months for part-time) students.

to others:

- xiv to respect confidentiality (both professional and commercial) of not only their own findings but also those of others with which they are not directly involved, but with which they may become aware by virtue of their position as a doctoral research student within the Faculty/University. All such matters must be treated with absolute discretion and integrity at all times

- xv to exercise professionalism and be sensitive to the needs of colleagues with whom facilities are shared
- xvi to maintain accurate and comprehensive records of the work undertaken, together with any experimental equipment, in an orderly fashion. This may significantly facilitate the writing of the thesis
- xvii to communicate in a professional manner with any sponsors (if the Director of Studies has agreed direct interaction between the student and sponsor).

11 DEVELOPMENT OF RESEARCH STUDENTS

- 11.1 Doctoral research students should be helped to gain the knowledge and skills they need to complete their programmes effectively and to help prepare themselves for their subsequent career. This is normally part of the supervisory process, but should also include elements of formal training provided by the University such as [St Mary's Researcher Development Programme](#), or another institution. It is the responsibility of the Director of Studies and Research Services to ensure appropriate training is made available to research students.
- 11.2 All doctoral research students should have access to skills training. In line with the Researcher Development Framework - <http://www.vitae.ac.uk/researchers/428241/Vitae-Researcher-Development-Framework.html>, the University monitors progress and identifies training needs. Students should be supported in each of the areas of:
 - (a) learning, research and scholarship
 - (b) employability and engagement with society; and
 - (c) personal communication skills

in pursuance of the QAA's Quality Code for Higher Education Chapter B11: Research degrees, 2012.
- 11.3 Students should also have access to language support and academic writing skills courses, necessary for their research.
- 11.4 Students should be required to undertake research training relevant to their project where they have not already undertaken this as part of a master's programme.
- 11.5 The Faculty should maintain on file Annual Progress Reports recording all training events, attendance at conferences, workshops or similar and any publications.
- 11.6 Faculties with research students should conduct regular research seminars to provide appropriate opportunities for research students to formally present their work to peers and senior colleagues and students should be required to attend where possible.
- 11.7 Students are required, in conjunction with their Director of Studies, to maintain a record of personal progress which includes reference to the development of research and other skills.

- 11.8 Students must be informed, in writing, if any taught element is compulsory and, if so, whether they are to be academically assessed and the consequences of unsatisfactory progress.

12 TEACHING ACTIVITIES

- 12.1 In cases where students are asked to assist with teaching activities, their responsibilities must be clearly defined in writing and be compatible with their research responsibilities. They should be fairly remunerated for this work. It is recognised that such activities are to the advantage of the student, both financially and in terms of career development.
- 12.2 Where teaching and/or demonstrating duties are associated with their funding arrangements, students must be notified in writing and St Mary's University should provide full details of the terms and conditions of these arrangements.
- 12.3 Teaching work should be shared out amongst research students as fairly as possible. Students who do not wish to teach and have no contractual obligation to do so should not be required to do so.
- 12.4 Students involved in teaching are required to attend training on the skills involved in good teaching (including marking) provided by the University's Centre for Teaching Excellence and Student Success. Students undertaking teaching should be assigned to a member of staff involved in the programme or module being taught who will co-ordinate their teaching activities and brief them fully on the objectives, academic content and programme regulations of the programme; provide guidance on the conduct of teaching and assessment and any Faculty and University policies relating to these and be available to offer advice as required. Lecturers should provide marking schemes and/or model scripts to students who undertake marking for their modules. Teaching undertaken by doctoral research students should be subject to the normal feedback mechanism operating within the Faculty.
- 12.5 The student must be advised of any particular health and safety issues associated with the teaching duties and, where appropriate, provided with necessary training.

13 MONITORING OF STUDENT PROGRESS

- 13.1 Supervisory meetings
- 13.1.1 Regular meetings will be the prime mechanism of monitoring progress and for academic feedback between supervisors and students. Where research is being conducted at distance an effective method(s) of regular contact shall be agreed between the student and Director of Studies (e.g. telephone, email). Contact should be made at least monthly with full time and part time students and a written record maintained.
- 13.1.2 Supervisors, Co-Supervisors and students should agree the general frequency and nature of supervisory meetings. Where a submission of work is required, students should be provided with sufficient notice of any deadline.
- 13.1.3 Records of the date and outcomes of supervisory meetings should be kept by the supervisor and submitted to the Sub-Committee for Research Students with the annual

progress review reports. It is also recommended that students keep their own records of these meetings.

13.2 Progress review meetings and reports

13.2.1 The University requires progress review meetings to be held twice a year, one of which will be in the form of the annual progress review. The purpose of this procedure is (i) to provide formal academic feedback to the student and (ii) to provide a mechanism for reporting progress and concerns of the student or supervisory team to the Sub-Committee. A copy of the report from these meetings will be circulated by the Director of Studies to the Moderator.

13.2.2 Review meetings should be conducted in person between the student and the Director of Studies. Review meetings may be conducted at distance by a method agreed between the student and the principal supervisor (e.g. video-conferencing), typically where students are conducting research abroad.

13.3 Annual progress review

13.3.1 An annual review of progress, recorded on a standard pro-forma, is required normally in May/June. This is a requirement for a student continuing their research programme. The form will be retained on the student's file and is confidential to those parties involved in the review process.

13.3.2 A minimum of three reviews will be carried out for a full-time PhD research student and four for a part-time PhD student

13.3.3 Students who are temporarily withdrawn from registration at the deadline for the progress review need not be reviewed at that time.

13.3.5 The Director of Studies is responsible for collecting all sections of the Annual Progress Review Report, ensuring all sections are signed by the appropriate parties and submitting the completed report via the Faculty Doctoral Programme Lead to the Secretary to the Research Student Sub-Committee.

13.3.6 At the progress review meeting, the report of the student will be discussed with the Director of Studies and the Co-Supervisor(s), and actions will be agreed where appropriate. The student will receive a copy of this section.

13.3.7 The report will be submitted to the Research Student Sub-Committee which will consider any action noted by the supervisory team and identify any further actions required by the Faculty (such as quality or resource issues and agreement to any training package to be supported by the Faculty.). A copy of this section will be sent to the student where further action has been identified.

13.3.8 Refusal by the student to submit an Annual Progress Review Report form may be considered as a reasonable ground for termination of studies by the University. The Research Student Sub-Committee will consider the circumstance for the refusal and make a recommendation to the University and University of Surrey as to any action which should be taken.

13.4 Interim review

13.4.1 A review of progress should take place around February each year (for October starters). The review should be discussed at the Faculty Research Committee and an overview report should be produced by the Faculty Doctoral Programme Lead for discussion at the Research Student Sub-Committee.

13.5 Unsatisfactory progress

13.5.1 A student's registration may be terminated on the grounds of unsatisfactory academic progress. If the Director of Studies judges a student's progress to be unsatisfactory, they will first consult the Faculty Doctoral Programme Lead. The details of this consultation will be documented by both parties and must be in agreement that the student's progress is unsatisfactory. If there is a disagreement between the parties then the case will be referred to the Research Student Sub-Committee for a decision.

13.5.2 The student will be sent written notification that their progress has been deemed unsatisfactory and offered the opportunity to remedy this. The student will be offered at least three months to meet specified targets.

13.5.3 Following the specified period, the student's case will be reviewed by the Director of Studies, Faculty Doctoral Programme Lead and the Research Student Sub-Committee. If all parties agree that the student has failed to meet the targets to the required standard then a recommendation for programme termination will be made to the Research Student Sub-Committee. If there is a disagreement between the parties then the case will be referred to the Research Student Sub-Committee for a decision.

Where a student makes a request for the recognition of extenuating circumstances during or after the specified period, this will be considered and if found to be valid, the deadline will normally be extended by up to three months subject to the approval of the Research Student Sub-Committee.

14 THE PHD CONFIRMATION PROCESS

14.1 The confirmation process is independent from and additional to the monitoring processes outlined above and is the main formal interim assessment for research students hoping to continue to a PhD. The University of Surrey Senate has approved the following procedures for all PhD programmes which are followed by St Mary's University.

14.2 The principal aims of the confirmation procedure will include the following

- to evaluate the candidate's approach to the research problem in terms of the theory and proposed or adopted research methods, in order to establish that the future objectives and methods are feasible and likely to form a suitable and sufficient programme for PhD candidature
- to ensure that the candidate has maintained the motivation to complete a thesis/ portfolio and within a reasonable timescale
- to consider evidence that modules/courses designated specifically for research students or identified and agreed with individual students as a requirement necessary to support their research studies have been completed satisfactorily

- to provide the candidate with an assessment of the strengths and weaknesses of the research and its presentation
 - to consider arrangements for supervision and facilities for the work and ensure that both are appropriate for the efficient completion of the project.
- 14.3 In accordance with the University of Surrey's General Regulations, the confirmation procedure will normally take place:
- for full-time students; 12-15 months after initial registration
 - for part-time students: 24-30 months after initial registration
- 14.4 It is a requirement that the confirmation procedure will entail a meeting in which prospective PhD candidates will present and discuss a written submission on their research.
- 14.5 Candidates will be required to submit a written report (the length of which may be specified by Research Programme Regulations), comprising the following material:
- a definition of the research problem, presenting the objectives of the research, the central ideas and concept+
 - a brief statement of any courses/modules or other training undertaken, as agreed with the supervisor, to underpin the research programme
 - a summary of progress to date, including a discussion of the relevant literature (where appropriate, a bibliography of primary and secondary works) and a reasoned case for the research methods adopted thus far; and findings to date+
 - any material already published
 - an outline of future plans for the research, together with an indication of what other methods, if any, it is intended to use+
 - a time plan for the future research through to submission of the thesis.

[+ The material summarised above may be submitted or required in the form of one or more draft chapters or in the form of collated and summarised progress report(s).]

- 14.6 The confirmation meeting will be organised by the supervisory team and will involve:

the candidate, together with a transfer panel, comprising:

- two assessors from within the University with knowledge of the field but independent of your research programme (if two internal assessors are not possible then an external assessor will be asked to sit on the panel)
- the Doctoral Programme Lead, or nominee, who will act as Chair.

14.7 The confirmation panel:

- should comprise a minimum of 2 assessors but may include more at the discretion of the School. It is important, however, that those present and responsible for making a recommendation should be clearly identified
- at least two of the transfer panel shall not be directly involved in the candidate's research programme and at least one of the two should have an appropriate knowledge of the research area

14.8 The supervisor(s) and candidate should agree an outline schedule for the timing of the meeting of the confirmation panel within the time limits defined in the University of Surrey Regulations. The schedule should take account of the need for the candidate to produce a written report and for the transfer panel to have sufficient time (at least 7 days) to read it in advance of the meeting.

14.9 In accordance with Regulations, it is a requirement that, in consultation with the supervisor(s), the Doctoral Programme Lead will make one of the following recommendations to the University's Research Degrees Committee:

- that the student be permitted to continue registration on the Degree of Doctor of Philosophy
- or:
- that the student's PhD registration should not be confirmed, but that the student be invited to re-apply for transfer within a prescribed timescale (normally three months)
- or:
- that the student should be registered for the Degree of Master of Philosophy.

14.10 Following the confirmation review, the candidate will receive in writing the decision and recommendation of the panel. He/she will also receive details of any areas of perceived weakness in the work and/or any required or recommended changes to the work within a specified timescale. This will be approved by the Chair of the confirmation panel.

14.12 The outcome of the confirmation review will be approved by the Chair of the Research Student Sub-Committee on behalf of the Sub-Committee and forwarded to the University of Surrey for approval.

14.13 A student has the right to appeal against the decision of the panel (see section 18)

15 PREPARATION OF THE THESIS

15.1 The thesis is the presentation of original work by the student. While the supervisory team may offer guidance before the submission of the thesis, the ultimate responsibility for the content must rest with the student. Such guidance may include advice on structure, content and presentation of the thesis. While advice or opinions offered by a member of the supervisory team will be given in good faith, it is not the role of the Supervisor to make an assessment of the standard of a student's final thesis or to predict the likely outcome of the final examination. This is a judgement that only Examiners can make.

15.1.1 Continuing student status

The regulations permit students who have completed their research and are writing up, who meet specific conditions, and after a time limit specified in the regulations, to apply to the Sub-Committee to transfer to “continuing status”, following approval of the Director of Studies and Doctoral Programme Lead. In these circumstances the student is no longer using specialist facilities of the University connected with the writing up of their thesis. There will be limited supervisory contact with the continuing student, connected to advice about writing up and thesis submission and a general level of contact should be agreed on an individual basis prior to transfer. Students requiring more than this level of support should re-register and, if full-time, may transfer to part-time registration.

15.2 Format of thesis

- 15.2.1 The format of the thesis or portfolio is defined in the general regulations pertaining to the award for which the student is studying. The thesis or portfolio should include a signed Declaration of Originality (see 8.4 above and available online at: <http://simmspace.smuc.ac.uk/prog-admin/research-students/Pages/Submission-of-Thesis-and-Viva-Voce.aspx>)
- 15.2.2 The thesis must be written in English. It must include an abstract (approximately 300 words) and must include a statement of objectives/aims and must acknowledge published or other sources of references consulted. It should be in the region of 80,000 words and no more than 100,000 words (including appendices and footnotes).
- 15.2.3 The thesis should be typed on A4 size paper and it is recommended that a margin of 4 centimetres (1½ inches) should be maintained on the side of the paper which is to be bound. All pages should be numbered. The title page should bear the approved title, the student’s name, the name of both St Mary’s University and the University of Surrey, the degree for which the student is registered and the year in which the thesis or portfolio is presented. No alterations or additions may be made to a thesis or portfolio after it has been submitted except with the agreement of the examiners.
- 15.2.4 Where work forms part of a collaborative group project, the thesis must indicate clearly the students’ individual contribution and the extent of collaboration. Any published material must be mentioned in the thesis and copies of reprints etc. placed in a secured pocket at the end of, or bound in, the thesis.
- 15.2.5 Three copies of the thesis must be submitted for the examination and viva voce. An abstract of the work, not exceeding 300 words in length, must be included in each copy after the title page.

15.3 Submission of thesis/portfolio

- 15.3.1 Between two and six months prior to submission of the thesis, an Entry Form for Examination is submitted by the candidate to Research Services.
- 15.3.2 The candidate is responsible for submitting six weeks in advance to St Mary’s University three copies of the thesis in the form prescribed by the Regulations. Research Services will arrange for copies to be sent to the examiners in liaison with the University of Surrey.

15.3.3 The thesis must be accompanied by a University thesis/portfolio submission form. Part B of this form will be signed by the University, and returned to the candidate as a receipt. The candidate is advised to retain this as proof of submission.

15.4 Early Submission of Thesis/ Portfolio

15.4.1 Any doctoral research student of confirmed status may apply for early submission provided that such submission will not take place within the first 24 months of registration (FT) or 36 months (PT).

15.4.2 Such an application must be made in the first place to the Director of Studies (or equivalent) who will assess the body of work/progress and give opinion on whether or not this is likely to be sufficient to permit the early submission of an adequate thesis in the field.

15.4.3 Where the Director of Studies/ supervisory team support the application, they will append a brief independent written assessment of the work outlining the reasons that underpin this assessment.
Approval by the Director of Studies/ supervisory team will not prejudice or guarantee the outcome of any subsequent examinations.

15.4.4 Applications supported by Director of Studies/ supervisory team should be countersigned by the Associate Dean for Research and Enterprise and forwarded to the University of Surrey via Research Services who will consider the application together with any other relevant information relating to the student's registration and status.

15.4.5 Submission must occur within 6 months of permission being granted and, if it does not take place, registration will revert to the usual periods and time limits.
Agreement to permit early submission will not alter the qualifying periods for transfer to continuing status.

15.4.6 Students who are granted permission to submit early will be informed of this in writing.

15.5 Preparation for the Viva Voce Examination

15.5.1 Mock viva

As a doctoral research degree student you will have been encouraged to prepare for your viva voce examination in a number of ways. You will have been asked to speak about your work and to give presentations. In addition you may have already presented papers at conferences. You will be given advice and information regarding the viva voce examination by your Director of Studies, and will be given appropriate information as to how to prepare for the examination in advance. It is recommended that you also undertake a 'mock' viva. Although the lines of questioning may not replicate your final viva, it will allow to defend your thesis under examination conditions, and to provide experience of focusing on and answering different types of questions about your thesis. This experience can help foster skills useful for the actual viva, such as defending ideas, thinking on one's feet and coping with pressure. The 'mock' viva will be organised in association with your Director of Studies (DoS), and may be carried out in alternative formats. Another member of academic staff may

be asked to read your thesis, and along with the DoS, will invite you to defend your work to them. Alternatively you may be asked to defend parts of your thesis to an examiner or a group of other doctoral students.

The mock examination should be conducted at a suitable time in advance of the viva to allow the candidate sufficient time to act on issues raised (usually not less than two weeks before the scheduled viva voce).

16 THE FINAL EXAMINATION

16.1 Nature of examination

16.1.1 The final examination for research degrees comprises:

- an initial assessment of the written thesis or portfolio;
- an oral examination, viva voce.

16.2 Examiners and Independent Chair

16.2.1 It is the responsibility of the Faculty in which the candidate is registered to make arrangements for the viva voce examination. This will normally be held at the University but, exceptionally, it may be held at a suitable external location if circumstances require it. (Where appropriate, one of the examiners may participate remotely by video-conference. This arrangement is subject to approval by the University of Surrey. The candidate shall always be examined viva voce in the presence of at least one examiner.)

All other formal communications with external examiners, including the letter of appointment, are the responsibility of the University of Surrey.

16.2.2 With the letter of appointment, the University of Surrey will send the appointee:

- a copy of the appropriate General Regulations;
- information on the current external examining fees for the academic year in question;

16.2.3 The examination will be conducted by a Panel of Examiners, comprising at least two examiners approved by the University of Surrey on the nomination of St Mary's Research Student Sub-Committee. Nominations will ordinarily be submitted to the University not earlier than six months and not later than two months before the thesis is presented on a standard University Entry Form for Examination.

16.2.4 Meetings of the examiners shall have an independent Chair. The independent Chair will normally be appointed from within the same Faculty but should not have had any prior formal involvement with the project or the student. The independent Chair will be responsible for ensuring the proper and fair conduct of the meeting, including conformity with General Regulations and this Code of Practice. They will sign the final joint examination report to confirm that the examination took place according to the regulations, resulting in one of the permitted outcomes by the regulations. Following the oral examination they will be responsible for ensuring that documentation is properly completed ready for submission to the University of Surrey via St Mary's Research Student Sub-Committee; that, when appropriate, the student

is provided with the list of minor corrections in a timely manner and that the examiners' reports are collated and returned to Research Services. In the event of a resubmission outcome, the examiners will prepare a Statement of Requirements which will be passed to the independent Chair for sending to the student.

16.2.5 At least one of the examiners must be external to and independent of the University; if the student is a member of the academic staff of the University, at least two examiners must be external to and independent of the University. The appointed examiners should, between them, normally have examined at least six theses in a similar field between them.

16.2.6 None of the appointed examiners can have acted as Director of Studies, Co-Supervisor to the student. The same external examiner cannot be used more than three times in a five year period.

16.3 Selection and Appointment of Examiners

16.3.1 Nominees for consideration for appointment of examiners should normally:

- have expertise in the area relevant to the student's field of research and be demonstrably research active;
- ideally, hold professorial or readership appointments, or equivalent. [A brief curriculum vitae should accompany any nomination and for any nominee for appointment as examiner when the nominee does not hold a current appointment as Professor or Reader];
- have experience between them of examining at least six doctoral level theses in the United Kingdom;
- not have, or have previously had, a personal relationship with the student;
- not have had any professional relationship with the student which may give rise to a conflict of interest (e.g. supervisory, collaborative research) within the last five years.

16.3.2 Nominees for consideration for appointment as external examiners shall, in addition, not hold or have held no appointment at St Mary's University, other than that of external examiner, during the period in which the student has been registered for the degree.

16.3.3 Nominees for consideration for appointment as internal examiners shall, in addition, normally hold permanent academic staff appointments at the University.

16.4 Conduct of the Examination

16.4.1 The content of the thesis, the conduct of the examination of a student and matters related thereto shall be regarded as confidential to those taking part in the examination and to appropriate officers of the University until such time as the outcomes of the examination are agreed by the University of Surrey.

16.4.2 Each appointed examiner will receive a copy of the thesis to be examined in advance of the viva voce examination and will prepare an independent, written report on the

content and style of the thesis. The reports will be submitted to the Chair of the examination panel and considered at the viva voce examination.

16.4.3 The viva voce examination is concerned with the content of the thesis and any related matters which the examiners consider appropriate. The student should expect to be questioned by the examiners on the thesis; inter alia, on the focus of the research, existing literature, the methodology used, the conduct of the research, the outcomes and conclusions.

16.5 Promulgation of the Outcomes of the Examination

16.5.1 The examiners will consider the content of their written reports and, taken together with the outcomes of the viva voce examination, will prepare a joint report on the examination to the University of Surrey Research Degrees Committee on behalf of the Senate, in the manner prescribed in the Regulations.

16.5.2 They will jointly make one of the recommendations specified in the Regulations as follows:

- full and unconditional award of the MPhil or PhD degree
- award of the degree but with minor corrections permitted to be made to the thesis you have submitted within a period not exceeding more than one month
- award of the degree subject to specified corrections being made to the thesis you have submitted within a period not exceeding more than six months
- no award and no opportunity for resubmission
- no award of a degree but permission granted for re-submission within 12 months
- sometimes a PhD candidate whose work is not considered to fulfil the criteria for this award may be awarded the degree of MPhil
- no award of MPhil, but permission granted for you to re-submit your work for this award by a specified date. Sometimes more research may be asked for. In other cases the examiners may require you to have a second oral examination.

16.5.3 The completed examiners' report and recommendations, shall be forwarded to Research Services for submission to the University of Surrey.

16.5.4 If the examiners are unable to agree on a recommendation in accordance with the relevant Regulation, the University of Surrey, in consultation with St Mary's will appoint an additional external examiner and shall consider the reports and recommendations of all the examiners before reaching a decision.

16.5.6 In the event that the examiners' recommendation involves either permitting or requiring that the student makes minor or specified corrections to the thesis prior to the award, the Chair of the viva voce examination or nominated internal examiner will notify the student of the corrections to be made and the timescale in which the corrections should be made .

16.5.7 In the event that the examiners' recommendation permits the student to submit a revised thesis/portfolio, the written report – the Statement of Requirements - to the student will make clear the reasons for the examiners' rejection of the original thesis. The report will specify a timescale by which the revised submission should be made (normally twelve months).

The student may also be liable for composition fees and/or re-examination fees.

16.5.8 Examiners' reports are regarded as confidential to the University. Examiners' reports may be made available to persons outside the University only with the prior agreement of the University and the author(s). A copy of the report made to the student will be retained on the student's file.

17 COMPLAINTS PROCEDURE

17.1.1 It is expected that every effort will be made by the parties concerned to resolve an issue by mutual agreement.

The Complaints procedures are outlined in the Student Partnership Agreement: <http://simmspace.stmarys.ac.uk/prog-admin/student-charter/Pages/default.aspx>. These cover issues relating to St Mary's University.

In recognition of the particular situation of research students the following procedures apply to grievances concerning the provision of your research supervision:

- Complaints should be taken up directly with your Director of Studies in the first instance, who will bring his/her best efforts to bear with appropriate University colleagues to resolve the matter with you, or on your behalf
- If the complaint cannot be resolved satisfactorily directly with or by your Director of Studies, you should write to the Faculty Doctoral Programme Lead or Associate Dean for Research & Enterprise
- In the event that the complaint arises from the working relationship with one of the supervisory team, the matter should normally be raised directly with another member of the supervisory team in the first instance with a view to resolving the matter
- If the case of dissatisfaction of your research supervision persists, you should approach the Faculty Doctoral Programme Lead or Associate Dean for Research & Enterprise, setting out in writing the difficulties which are unresolved as outlined in the Complaints Procedure. The Faculty Doctoral Programme Lead or Associate Dean for Research & Enterprise will discuss the matter with both the supervisor and with you. If a resolution cannot be found, the Faculty Doctoral Programme Lead or Associate Dean for Research & Enterprise may, inter alia, make arrangements for you to be assigned to another supervisor
- Where the supervisor is also the Faculty Doctoral Programme Lead or Associate Dean for Research & Enterprise, you should approach Research Services
- Research Services (or group established for the purpose) will consider the point(s) of grievance and will discuss it with the Head of School.

If you are experiencing any issues with a member of your supervisory team that you are unable to resolve directly with the team, please contact either the Doctoral Programme Lead in your Faculty/Institute or the Associate Dean for Research and Enterprise.

Further information on the process for **requesting a change to your supervisory team** can be found at –

<http://simmspace.smuc.ac.uk/prog-admin/research-students/Pages/Regulations.aspx>

If the difficulties remain unresolved you should refer to the University of Surrey's complaints procedure - https://www.surrey.ac.uk/currentstudents/study/complaints_appeals/.

It is expected that every effort will be made by the parties concerned to resolve an issue by mutual agreement.

18 APPEALS PROCEDURES

If you are not satisfied with the outcome of your examination you may appeal to the University of Surrey - https://www.surrey.ac.uk/currentstudents/study/complaints_appeals/

The Regulations prescribe the only acceptable grounds for appeal as:

- that the examination had not been conducted in accordance with the Regulations or there had been a material irregularity or omission in its conduct such that the result might have been affected
- that the student believed that performance in the examination had been materially impaired by ill health or other circumstances which the student had been unable, for valid reasons, to divulge to the Examiners
- that the student had reason to believe that one or more of the Examiners was prejudiced or biased.

If you wish to appeal you should write, detailing your grounds, to St Mary's University Registrar who will forward the appeal to the University of Surrey.