

Edinburgh Napier University

The University's Academic Regulations: 2010-11

Section D: Research Degree Regulations

D1 Introduction

D1.1 Section D: Research Degree Regulations sets out the specific regulations applying to this type of award. In applying this section of the University's regulatory framework, account must be taken of the regulations contained in Section A: General Regulations, which apply to all programmes of study offered by the University.

D2 Definitions

D2.1 The following research degrees are considered in this section of the University's academic regulations:

- a) Doctor of Philosophy (PhD);
- b) Doctor of Philosophy by Published Works (PhD);
- c) Master of Philosophy (MPhil);
- d) Professional Doctorates, including the Doctor of Business Administration (DBA);
- e) Master of Arts by Research (MAREs);
- f) Master of Science by Research (MScRes);
- g) Doctor of Science (DSc)

D2.2 The following terms are used in these regulations:

- a) *Registration* refers to matriculating as a student of the University and formally commencing the programme of study (registering as a research student).
- b) *Approval of thesis topic and programme of study* is the process of confirming the area of study and the actual thesis title. It must take place within 6 months (for full-time students, nine months if part-time) of the date of first matriculation. For the award of Master by Research, the 'determination of target degree' may take place as part of the approval of thesis topic and programme of study. For the award of DBA, Regulation D16.2 applies.
- c) *Determination of target degree* is the formal process of determining whether a student will progress towards a Master by Research (MA by Res or MSc by Res), Master of Philosophy or Doctor of Philosophy. This review will take place within 12 months (for full-time students, 18 months if part-time) after first matriculation. For the award of Master by Research, the 'determination of target degree' will take place as part of the approval of thesis topic and programme of study. For the award of DBA, Regulation D16.2 applies.
- d) *Progress Review* (normally twice yearly) is the review of progress towards a target degree.

D2.3 Research degree provision is managed on behalf of Academic Board by Research Degree Committee and Faculty Research Degrees Committees. The

roles and responsibilities of these committees are defined in Academic Board remits. Within this section of the regulations they will be referred to as "University RDC" and "Faculty RDC".

D3 Admissions

- D3.1 An applicant for any research degree must normally hold at least a first or second class honours degree of a University in the UK or a qualification regarded as equivalent to such an honours degree.
- D3.2 An applicant holding qualifications other than those in paragraph D3.1 will be considered on their merits and in relation to the nature and scope of the programme of work proposed. Such an applicant may be required to pass an externally assessed qualifying examination at final year honours degree level before registration can be approved.
- D3.3 Applicants whose first language is not English must provide evidence of an appropriate English language qualification, achieved no more than two years prior to the expected registration date:
- i IELTS score of at least 6.5 with no component below 6.0, **or**
 - ii TOEFL IBT score of at least 90 (or equivalent paper or computer based test) **or**
 - iii Pearsons Test of English score of at least 60
- D3.4 Applicants for DBA, in addition to the requirements of D3.1 and D3.3, should be employed in a senior management role and must normally hold an MBA or a Masters qualification in a relevant area. Applicants with a research award (MPhil or PhD) in a relevant discipline may be considered for entry to stage 2 of the DBA programme.
- D3.5 Except with the specific permission of the University, a candidate for a research degree may not, during the period of their registration, be a candidate for another award of any university.
- D3.6 Research students who are or have been registered with another institution may transfer their registration to Edinburgh Napier, providing at least one year full-time equivalent research remains to be completed at Edinburgh Napier prior to submission for examination. They should apply in the standard way, preferably with the written approval of their former institution and with an explanation of the reasons for wishing to change. Normally the total period of study for such students will be as in section D5.1 less the actual amount of registration time at the previous institution. Written evidence of any stages successfully completed at the previous institution (such as determination of target degree) must be provided before these can be recognised by Edinburgh Napier University. Exceptionally, where delays in progress at the previous institution have been outwith the control of the transfer applicant, a longer total period of registration may be permitted, at the discretion of University RDC.
- D3.7 All research students commence their studies without a specified target degree. Progression is dependent on satisfactory performance in determination of target degree and progress reviews. Students have the discretion to submit for a lower award than their approved target degree, but may only submit for a higher award

(MPhil or PhD) if they have satisfied the appropriate determination of target degree or progress review panels or events.

D3.8 Where a research degree project is part of a piece of funded research, the terms on which the research is undertaken must not detract from the fulfilment of the objectives and requirements of the candidate's research degree. In particular, it is important that no conditions are imposed which would prevent the normal process of examination, although it is acceptable to require that the thesis is kept confidential for a period (see Regulation D11.9).

D4 Registration and Approval of Area of Research

D4.1 Registration refers to matriculating as a student of the University and formally commencing the programme of study (registering as a research student). At this point the details of the broad area of research, the supervisory team (see Regulation D6), and other resources required to conduct the proposed research must be agreed.

D4.2 Approval of the thesis topic and programme of study by the Faculty RDC should take place within six months of matriculation (for full time students; nine months part time).

D4.3 All students who intend to study for a research degree must matriculate before commencing the programme of study. Continuing students are required to matriculate annually at the commencement of each academic session. At first matriculation, and annually thereafter, students, or their sponsors, become liable for the payment of fees to the University.

D4.4 Special arrangements may apply to particular types of research degrees. See Regulations D15 to D17 for more information.

D5 Periods of Study

D5.1 The periods of study dating from first matriculation for the various research degrees are:

| Award | Mode of Attendance | Minimum Period | Maximum Period |
|--|--------------------|----------------|----------------|
| M by Res (MSc/MA by research) | Full-time | 12 months | 30 months |
| | Part-time | 20 months | 38 months |
| MPhil | Full-time | 24 months | 42months |
| | Part-time | 40 months | 58 months |
| PhD (except Graduate Training Assistants) | Full-time | 36 months | 54 months |
| | Part-time | 60 months | 78 months |
| PhD (Graduate Training Assistants) | Full-time | 48 months | 66 months |
| PhD by Published Works | Part-time | n/a | 12 months |
| DBA | | 36 months | 48 months |

- D5.2 In exceptional circumstances, research students may be permitted to submit earlier than the minimum period specified. Applications for approval of early submission must be made in writing to University RDC and must have the support of the student's supervisory team.
- D5.3 Students who submit in less than the minimum period will not be entitled, as a result of doing so, to a reduction in fees
- D5.4 Candidates may apply to change mode of study from full- to part-time, or vice versa.
- D5.5 Applications to change mode of study may not be made once the minimum period of study has elapsed.
- D5.6 Once the target degree has been determined, a PhD candidate may transfer to MPhil within the minimum period of registration, but not after this has elapsed.
- D5.7 Once the target degree has been determined, an MPhil candidate may transfer to MA/MSc by Res within the minimum period of registration of the higher award, but not after this has elapsed.
- D5.8 Where a candidate changes from full-time to part-time study, or vice versa, the minimum and maximum registration periods will be calculated on the basis that three months of full time study is considered equivalent to five months of part time study. After the full-time period which has already elapsed has been converted to a part time equivalent, the student will be considered to be working to the registration period appropriate to their new mode of study.
- For example, a student who completes two years full-time and then converts to part-time will have a maximum of 38 months part-time registration remaining. This is based on their being deemed to have already had the equivalent of 40 months $[(5/3)*24 = 40]$ of the maximum part-time registration period of 78 months.
- D5.9 A candidate must submit the thesis for examination before the expiry of the maximum period of registration.
- D5.10 Once a candidate has completed the minimum period of time for the award sought (as specified in D5.1) their mode of attendance status and fee liability will automatically change to 'writing up'. The change to 'writing up' cannot be made before the end of the minimum period of registration. The student must continue to pay any fees due and matriculate each year (Regulation D4.3). They must still submit their thesis within the appropriate timescale for their mode of attendance.
- D5.11 A student may apply to suspend their studies for a period of time. Such periods of suspension must be agreed with the supervisors, approved by the relevant Research Degrees Committee and notified to the Research Office. Time elapsed during a period of suspension will not count as part of the period of study in Regulation D5.1.

D5.12 Under certain exceptional circumstances, a student may be permitted to extend their maximum registration period. Applications must be submitted for consideration by University RDC no later than three months before the maximum registration period (as specified in Regulation D5.1) has elapsed.

D5.13 Where a candidate has discontinued the research, they are required to notify University RDC detailing the reason for withdrawal. If a student has not been in contact with their supervisors for a prolonged period, and the supervisors have not been able to re-establish contact, the University may write to the student informing them that they will be deemed to have withdrawn unless this contact is re-established within one month.

D6 Supervisory Arrangements

D6.1 A research degree candidate will normally have two and not more than three supervisors. More than two supervisors will be used if there is a need to ensure coverage of both subject knowledge and experience in supervising research degrees.

D6.2 Members of staff who have not previously supervised students at Edinburgh Napier University must undertake the relevant research degree supervision training programme before being eligible to supervise. Existing supervisors are required to participate in refresher briefings, normally every two years.

D6.3 At least one supervisor must have had experience of supervising candidates to the successful completion of a UK PhD. A supervision team must normally have had a combined experience of supervising not fewer than two candidates to successful completion. Staff who are themselves currently registered for a Research degree are eligible to supervise other research students only under exceptional circumstances.

D6.4 One supervisor will become the Director of Studies (first supervisor), with responsibility to supervise the candidate on a regular and frequent basis. The Director of Studies must be an Edinburgh Napier University staff member.

D6.5 An independent, non-examining, panel chair may be appointed to the supervisory team at the outset and remain in post for the duration of the student's programme, or be a new appointment at each review.

D6.6 For all progress reviews (including determination of target degree) the independent panel chair must have no regular direct contact with the student related to their research and must have experience of research degree supervision, defined as:

- a. having supervised one or more candidates to the successful completion of a UK PhD; **or**
- b. currently supervising two or more Edinburgh Napier PhD candidates; **or**
- c. having attended the University's Research Degree training on supervision and currently supervising one Edinburgh Napier PhD candidate.

D6.7 For examination, the independent panel chair must meet the requirements of regulation D8.4.

D7 Determination of Target Degree and Progress Reviews

- D7.1 Students must make satisfactory progress towards their research degree. Failure to do this may result in the termination of registration for the degree. If the student is in receipt of an Edinburgh Napier University studentship, this will be withdrawn at the same time as registration for the degree is terminated.
- D7.2 At each review the candidate must submit a written report detailing their research work since the previous review. The format of the report will depend on the particular review (determination of target degree or progress review).
- D7.3 Within the first 12 months (full-time; 18 months part-time) from the date of initial matriculation, all students will have a 'determination of target degree' review. For the award of Master by Research, the determination of target degree may take place as part of the approval of thesis topic and programme of study. For the award of DBA, Regulation D16.2 applies.
- D7.4 The determination of target degree review will be conducted by a panel consisting of an independent panel chair (as defined in D6.5) and all members of the supervisory team. The panel will report their recommendations to the parent Faculty RDC.
- D7.5 The panel will review the student's progress and will reach one of five judgements, based on the report from the student and subsequent discussion:
- a) Proceed, target degree PhD;
 - b) Proceed, target degree MPhil;
 - c) Proceed, target degree MRes/ MScRes;
 - d) Proceed, target degree DBA;
 - e) Refer. The student is required to revise the determination of target degree report and be reviewed again. This process (revision and submission of report, review and panel decision) must be completed within a maximum of three months (full-time students)/five months (part-time students);
 - f) Unsatisfactory progress, recommend termination of registration for a Research Degree.

In the case of Regulation D7.5 (e) the original panel must review the student's progress again. The possible outcomes of a repeat review are the same as those for a first review excluding (e). A decision to refer may only be made once per determination of target degree review.

- D7.6 Following determination of target degree all students will have their ongoing progression monitored by a progress review, normally held twice yearly. A panel will be constituted as for Regulation D7.4 to review progress towards the target degree. The panel can recommend:
- a) proceed with current target degree;
 - b) proceed, change target degree depending on progress and student's wishes;
 - c) Refer. The student is required to undertake additional work where appropriate, revise the progress report and be reviewed again. This process (revision and submission of report, review and panel decision)

must be completed within a maximum of three months (full-time students)/five months (part-time students);

- d) unsatisfactory progress, recommend termination of registration for a Research Degree.

In the case of Regulation D7.6(c) the original panel must review the student's progress again. The possible outcomes of a repeat review are the same as those for a first review excluding (c). A decision to refer may only be made once per review cycle.

D7.7 Each faculty will have discretion about how it chooses to organise determination of target degree and progress reviews subject to the requirements of Regulations D6.5 to D6.7 and D7.2 to D7.6.

D7.8 All determination of target degree and progress review decisions must be reported to and approved by the Faculty RDC.

D7.9 Each Faculty RDC must provide an annual report on research students to University RDC which is responsible for monitoring all research student progress.

D8 Examination Arrangements

D8.1 The Director of Studies should make an application for approval of examination arrangements at least three months before the viva is due to take place. Applications should be submitted for scrutiny by the relevant Faculty RDC before going forward to University RDC for approval.

D8.2 It is essential that the examining team has:

- ii. **Sufficient expertise in the subject area.**
- iii. **Substantial experience of examining UK higher degrees.** "Substantial experience of examining UK higher degrees" is defined, normally, as two or more previous examinations at the level being examined.
- iv. **Sufficient familiarity with the University's Research Degree Regulations and procedures.** "Sufficient familiarity with the University's Research Degree Regulations and procedures" is defined, normally, as:
 - a. two or more previous Edinburgh Napier University examinations at the level being examined; **or**
 - b. one previous Edinburgh Napier University examination at the level being examined and having attended the University's Research Degree training on procedures and examinations within the two years prior to the viva.

D8.3 The examining team must consist of at least two examiners, one of whom must be external to the University. At least one external examiner must have substantial experience of examining UK research degree candidates in the field as defined in D8.2. In order to fulfil this requirement it may be necessary to include two external examiners.

D8.4 In addition to the examiners, the team should normally include a non-examining panel chair, who must have substantial experience of examining UK higher

degrees and sufficient familiarity with the University's research degree regulations and procedures as defined in D8.2.

- D8.5 Where the student is also a member of University staff, a second external examiner should normally be appointed in addition to any internal examiner.
- D8.6 An internal examiner must not be the current or former supervisor or Director of Studies of the student or have acted as the independent panel member at any stage of the student's programme. Where there is no non-examining chair, the internal examiner must have sufficient familiarity with the University's Research Degree Regulations and procedures as defined in D8.2.
- D8.7 An external examiner must not be either a supervisor of another candidate at Edinburgh Napier or an external examiner on a taught programme in the same School. Normally, former members of staff of the University will not be approved as external examiners until three years after the termination of their employment with the University.
- D8.8 A period of two years must elapse before an external examiner may be appointed for a second time.
- D8.9 An external examiner must not have any connection with the candidate, the research project, the supervisors, or the University, which might impair their ability to make a fair and impartial assessment of the candidate's work.
- D8.10 Where two external examiners are appointed, they should not be from the same institution.
- D8.11 The Director of Studies (or second supervisor) will normally attend the viva as an observer, at the discretion of the candidate, but must withdraw prior to the deliberations of the examiners on the outcome of the examination.
- D8.12 The candidate must have no formal contact with the examiner(s) between their appointment and the oral examination.
- D8.13 The thesis may only be submitted for examination within the minimum and maximum dates specified in Regulation D5.1. It is ultimately the responsibility of the candidate to declare that the thesis is ready for examination, although in most cases this will be a joint decision of the student and the supervisory team.
- D8.14 The candidate must ensure that a soft-bound copy of the thesis for each examiner is submitted to the Research Office, together with a signed declaration (RD15) that the thesis is their own work.
- D8.15 The candidate must ensure that the thesis format conforms to the requirements set out in Regulation D10. Theses may be submitted for examination either in a permanently bound form or in a temporarily bound form which is sufficiently secure to ensure that pages cannot be added or removed.
- D8.16 In circumstances where the student cannot be examined using the normal process of submission of thesis and viva, University RDC may still approve the award of the appropriate degree to be conferred as an Aegrotat award, providing

there is evidence that the student would have been successful. These arrangements will apply only in cases of serious illness or for the posthumous award of the degree.

D8.17 See Regulations D15 to D17 for any regulations that apply to certain specific research degrees.

D9 Examination and Outcomes

D9.1 Prior to the viva voce examination, each examiner must submit a pre-viva report on the candidate's thesis, which will remain confidential to the examination team until their recommendations are submitted to University RDC. The pre-viva report will include a provisional recommendation to University RDC.

D9.2 Examiners will use the following criteria to guide their assessment of the thesis (together with any other material on which the candidate is to be assessed – see Regulations D14 and D15) and of the candidate's performance in the viva.

- a. **For all research degrees:** the thesis should be satisfactory as regards literary presentation and succinctness; the abstract of the thesis should provide an accurate summary of its aims, theoretical basis, methods and findings; and in the case of a student whose research programme is part of a collaborative group project, the thesis should indicate clearly the individual contribution and the extent of the collaboration. In the viva the student should be capable of explaining their research within its disciplinary or professional context, and of engaging in critical reflection on their work.
- b. **Additionally, for the award of Master by Research:** the candidate should have successfully completed a programme of scholarly research and produced a thesis which represents an independent contribution to knowledge. The thesis should demonstrate the competent investigation and evaluation or critical examination of an approved topic undertaken over a period of normally not less than 12 months of full-time study (or 20 months of part-time study), together with an appreciation of the research methods and literature appropriate for their topic.
- c. **Additionally, for the award of Master of Philosophy:** the candidate should have successfully completed a programme of scholarly research and produced a thesis which represents an independent, significant contribution to knowledge. The thesis should demonstrate the competent, informed investigation and evaluation or critical examination of an approved topic undertaken over a period of normally not less than 24 months of full-time study (or 40 months of part-time study), together with an understanding of the research methods and literature appropriate for their topic.
- d. **Additionally, for the award of Doctor of Philosophy:** the candidate should have successfully completed a programme of scholarly research and produced a thesis which represents an independent, significant and original contribution to knowledge. The thesis should demonstrate a highly competent, well-informed investigation and evaluation or critical examination of an approved topic, undertaken over a period of normally not less than 36 months of full-time study (or 60 months of part-time study), together with

advanced understanding of the research methods and literature appropriate for their topic.

D9.3 At the end of the examination the examiners may recommend that:

| | Decision | Subsidiary Criteria |
|---|----------|---|
| a | Pass | The candidate is awarded the degree unconditionally. |
| b | Pass | The candidate is awarded the degree, subject to the completion of minor amendments. |
| c | Pass | The candidate is awarded the degree, subject to the completion of substantial amendments. |
| d | Resubmit | The candidate is required to make major amendments to the thesis for re-examination, but not to undergo a second viva. |
| e | Resubmit | The candidate is required to make major amendments to the thesis for re-examination, and to undergo a second viva. |
| f | Fail | The candidate is invited to resubmit for examination for the award of another research degree (MPhil, MRes, MScRes), as appropriate). |
| g | Fail | The candidate is not permitted to submit again. |

D9.4 The examiners will provide the candidate with written guidance on the deficiencies of the first submission as soon as possible and no later than one week after the viva. Candidates may seek clarification from the internal examiner about the corrections requested.

D9.5 The examiners will decide whose approval is required to confirm that any amendments have been completed to their satisfaction.

D9.6 A candidate will have a maximum of two months to complete minor amendments; six months to complete substantial amendments; one year to complete major revisions without a second viva; up to two years if a second viva is required; six months to resubmit for examination for another award. These time scales apply equally to full-time and part-time candidates. If, in exceptional circumstances, a candidate requires an extension to the agreed period, he or she must make an application in writing to the University RDC, stating the reasons for the extension, and providing supporting evidence as appropriate.

D9.7 Candidates must submit the amended thesis to the Research Office for consideration by the relevant examiner/s.

D9.8 After consideration of the amended thesis, the examiner/s may recommend one of three outcomes, that:

| | Decision | Subsidiary Criteria |
|---|----------|---|
| a | Pass | The candidate is awarded the degree unconditionally. |
| b | Pass | The candidate is awarded the degree, subject to the completion of minor amendments. |
| c | Fail | The candidate is not permitted to submit again. |

In the case of outcome (b), relevant aspects of D9.4-D9.7 will apply.

- D9.9 If a student is required to resubmit they must also re-matriculate with the University as a 'writing up' student and pay such fees as become due.
- D9.10 Following the oral examination the examiners will, where they are in agreement, submit a joint report and recommendation relating to the award of the degree to the Secretary, University RDC. Where the examiners are not in agreement, separate reports and recommendations will be submitted.
- D9.11 The University RDC, on behalf of Academic Board, will make a decision on the reports and recommendation(s) of the examiners in respect of the candidate.
- D9.12 Students and their supervisors have the right to request to see examiners' reports (in an anonymised form) after they have been submitted to University RDC.
- D9.13 Where the examiners' recommendations are not unanimous, University RDC may:
- a) accept a majority recommendation; **or**
 - b) accept the recommendation of the external examiner; **or**
 - c) require the appointment of an additional external examiner.
- D9.14 Where an additional external examiner is appointed, they will prepare an independent preliminary report on the basis of the thesis and, if considered necessary, may conduct a further oral examination. The new examiner should not be informed of the recommendations of the other examiners. On receipt of the report from the additional examiner University RDC will make a recommendation in the terms of Regulation D9.1.
- D9.15 A student may appeal against the decision of the examiners or the University RDC. Such appeals cannot be made on academic grounds. For details see Regulation D13.

D10 Resubmission for re-examination

- D10.1 A maximum of one re-examination may be permitted by University RDC if a candidate fails to satisfy the examiners at the first examination. As a result, following the completion of the re-examination, the examiners may recommend one of three outcomes, that:

| | Decision | Subsidiary Criteria |
|---|----------|---|
| a | Pass | The candidate is awarded the degree unconditionally. |
| b | Pass | The candidate is awarded the degree, subject to the completion of minor amendments. |
| c | Fail | The candidate is not permitted to submit again. |

In the case of outcome (b), relevant aspects of D9.4-D9.6 will apply.

- D10.2 Where examiners' recommendations are not unanimous, University RDC may:
- a) accept a majority recommendation; **or**
 - b) accept the recommendation of the external examiner; **or**
 - c) require the appointment of an additional external examiner.

- D10.3 Where an additional external examiner is appointed, they will prepare an independent report on the basis of the thesis. The new examiner should not be informed of the recommendations of the other examiners. On receipt of the report from the additional examiner, University RDC will make a recommendation in the terms of Regulation D10.1.
- D10.4 Where University RDC approves the examiners' recommendation that a candidate should not be awarded the degree, the Convenor must communicate this decision in writing to the candidate within one week. This communication must include a report, produced in consultation with the examiners, on the deficiencies of the thesis and the reason for the decision.
- D10.5 A student may appeal against the decision of the examiners or the University RDC. Such appeals cannot be made on academic grounds. For details see Regulation D13.

D11 Thesis

- D11.1 The thesis must be presented in English.
- D11.2 An abstract of approximately 300 words must be bound into the thesis.
- D11.3 Where a candidate's research programme is part of a collaborative group project, the thesis must indicate clearly the candidate's individual contribution and the extent of the collaboration.
- D11.4 The candidate is free to publish material in advance of the thesis but reference must be made in the thesis to any such work. Copies of published material should either be bound in with the thesis or submitted with the thesis.
- D11.5 The main body of the thesis, excluding the bibliography and any appendices, must not exceed the following word counts:

| <i>Degree</i> | <i>Maximum Word Length</i> |
|------------------------|-------------------------------------|
| M by Res | 30,000 |
| MPhil | 50,000 |
| PhD | 80,000 |
| DBA | 40,000 |
| PhD by Published Works | 25,000 (for the Critical Appraisal) |

Where the thesis is accompanied by material in other than written form (Regulation D14), the maximum word lengths become:

| <i>Degree</i> | <i>Maximum Word Length</i> |
|---------------|----------------------------|
| M by Res | 12,000 |
| MPhil | 20,000 |
| PhD | 40,000 |

Where a student's research methods or data presentations require lengthy exposition, permission may be gained at the point of determination of target degree for a maximum thesis length of:

| <i>Degree</i> | <i>Maximum Word Length</i> |
|---------------|----------------------------|
| M by Res | 34,000 |
| MPhil | 55,000 |
| PhD | 90,000 |

D11.6 The following requirements must be adhered to in the format of the submitted thesis.

- a) theses must be in A4 format;
- b) copies of the thesis will be presented in a permanent and legible form either in typescript or print; where copies are produced by photocopying processes, these shall be of a permanent nature; the printer shall be capable of producing text of a satisfactory quality;
- c) the font used in the main text, including displayed matter and notes, shall be Arial or Times New Roman and its size must not be less than 12 point; candidates who wish to use an alternative font must seek approval to do so from University RDC, prior to submission for examination;
- d) the thesis must be printed on the recto side of the page only; the paper should be white and within the range 80 g/m² to 100 g/m²;
- e) the margin at the left-hand binding edge of the page should not be less than 40mm; the top and outside margins not less than 20mm and the bottom 15mm;
- f) double or one and a half line spacing must be used in the typescript except for indented quotations or footnotes where single spacing may be used;
- g) pages must be numbered consecutively through the main text including photographs and/or diagrams included as whole pages;
- h) the title page must give the following information:
 - i) the full title of the thesis;
 - ii) the full name of the author;
 - iii) that the degree is awarded by the University;
 - iv) the award for which the degree is submitted in partial fulfilment of its requirements;
 - v) the name of the degree;
 - vi) the month and year of submission.
- i) Citations and references must conform to the Research Degrees Referencing Guide.
- j) The thesis may be bound in two volumes if necessary. In such cases, volume one should contain a full table of contents (covering both volumes) and volume two should contain a table of contents listing the chapters contained in volume two.

D11.7 Following the decision of the examiners, and before graduation, the candidate must provide the Secretary of the University RDC with two non-returnable copies of the approved version of the thesis. These copies will be lodged in the library of the University. One must be a loose copy and the other must be bound as follows:

- a) the binding must be of a fixed type so that leaves cannot be removed or replaced; the front and rear boards will need sufficient rigidity to support the weight of the work when standing upright; and
- b) in at least 24pt type the outside front board shall bear the title of the work, the name and initials of the candidate, the qualification, and the year of submission; the same information (excluding the title of the work) will be shown on the spine of the work, reading downwards.
- c) Candidates may choose their own colour of binding and lettering. The standard format is gold lettering on black binding.

D11.8 An additional loose copy of the abstract and of the title page should be submitted with the approved version of the thesis. The loose copy of the abstract must have as a heading: the name of the author; the degree for which the thesis is submitted; the date of submission; and the title of the thesis.

D11.9 Following the decision of the examiners, and before graduation, the candidate must also deposit a digital full-text electronic copy of abstract and thesis in the "Repository@Napier".

D11.10 If a candidate, or the University, wishes the thesis to remain confidential for a period of time after completion of the work, a written application for approval must be submitted to University RDC at any time prior to submission of the thesis. The period approved will normally not exceed two years from the date of the submission of the thesis. Any embargo thus approved will apply to both digital and hard copies of the thesis.

D12 Academic and Non-academic Misconduct

D12.1 Non-academic misconduct by research students will be dealt with in accordance with the Non-Academic Conduct Regulations of the Student Disciplinary Regulations, with the exception of breaches of any university code of practice, rule, policy or code of conduct (no. 8 in Appendix I: Non-Academic Misconduct, of these regulations). For research students (but not for students on taught programmes) such breaches may constitute a matter of academic misconduct rather than non-academic misconduct. This includes university, faculty and school rules and requirements concerning research ethics and governance, the usage of library, IT and other facilities, health and safety, financial regulations, and other requirements, codes and procedures relevant to research degree study (see item 6 of Appendix I to Section D: Research Degree Regulations).

D12.2 Academic misconduct by research students can include plagiarism, collusion, falsification or fabrication of data, personation, bribery or breaches of any university code of practice, rule, policy or code of conduct, as defined in Appendix I of Section D of the Regulations.

D12.3 Three categories of breach of academic conduct regulations are recognised:

- a) Negligence, i.e. a minor incident, usually the first, which has occurred through carelessness or inexperience.
- b) Malpractice, i.e. an incident in which the student should have known that the behaviour was unacceptable, e.g. incidents in later years of the

student's studies, repeat incident(s) or behaviour deemed more serious than negligence.

- c) Misconduct, i.e. an attempt to gain advantage by behaviour which it is difficult not to see as intentional, e.g. passing off plagiarised work as one's own by omitting to provide references, multiple repeated or serious offences, fabrication of data or records of prior qualifications or experience.

D12.4 Within the context of a research degree, plagiarism is a particularly serious offence and will be treated as such. Any case, or suspected case, of plagiarism must be reported to University RDC.

D12.5 All allegations of academic misconduct will be dealt with by a sub-committee of the University RDC consisting of the Convenor of the Committee (or suitable nominee) and at least two, and not more than four, members of the University's RDC or Research and Knowledge Transfer Committee. No member of the panel can be involved in a case in which they have an interest. The panel will interview the student, who is entitled to be accompanied by a person who can provide support and guidance to the student concerned. That person may not be present either as a legal or trade union representative and must be a member of the Edinburgh Napier University 'community', i.e. a member of University staff, an office bearer or member of staff of Edinburgh Napier Students' Association or another student.

D12.6 Following its investigation, the sub-committee will submit a report to University RDC, indicating the nature of the alleged misconduct, a summary of the evidence received, its conclusion and its recommendation. A copy of this report will be sent to the student and his/her supervisors. University RDC, on receipt of the report, may decide that:

- a) the allegation is not upheld; or
- b) the allegation is upheld, with a judgment of negligence or malpractice on the part of the student; or
- c) the allegation is upheld, with a judgment of misconduct on the part of the student.

The penalties that may be imposed by University RDC if the allegation is proved are:

- d) The student should be excluded from the pursuance of the degree for a specified period, and only permitted to re-register for the degree subject to compliance with requirements stipulated in writing by the Convenor; or
- e) The student should be permanently excluded from the pursuance or award of the degree.

D12.7 The decision of University RDC will be transmitted in writing to the student and their supervisors by the Secretary of the Committee within five days of its meeting and will outline the right of appeal (see D13.4).

D13 Complaints and Appeals

- D13.1 The grounds on which a complaint can be made, and how it will be handled, are set out in the Student Complaints Procedures.
- D13.2 An appeal is a request from a matriculated research student that a decision of the University or Faculty RDC should be reviewed because it is believed that an injustice has occurred. In the case of research students it is possible to appeal against the following decisions:
- a) a decision about progression (Regulation D7);
 - b) a decision made by University RDC, based on the examiners' recommendations (Regulations D9 and D10);
 - c) a decision related to academic misconduct (Regulation D12).
- D13.3 In none of these cases can a student appeal on academic grounds and instead the appeal must relate to one of three circumstances:
- a) that there were circumstances that were unknown, or not taken into account, at the time of the decision;
 - b) that there is evidence of procedural irregularity in how the decision was taken;
 - c) that there is evidence of prejudice, or improper assessment, in how the decision was taken.
- D13.4 All appeals should, in the first instance, be notified to the Director of Research and should be submitted within 10 working days of the student's receipt of formal notification of the decision against which they wish to appeal. The appeal will be heard by a sub-committee of University RDC, consisting of:
- a) the Convenor of the University RDC (or nominee);
 - b) two members of academic staff with experience of research degree supervision, one from another school in the same faculty and the second from a different faculty;
 - c) the President of the Edinburgh Napier Students' Association (or nominee).
- D13.5 Notification of the date and time of the appeal will be sent out at least five working days in advance. The student is entitled to be accompanied by a person who can provide support and guidance to the student concerned (as specified in D12.5).
- D13.6 After hearing the appeal the Panel will make one of two decisions:
- a) appeal upheld;
 - b) appeal not upheld.
- D13.7 In the case of the decision that the appeal should be upheld the Appeals Panel will also outline the action to be taken as a result of the appeal being upheld. The outcome of all appeals will be given in writing to the appellant and the Convenor of the relevant body that originally made the decision within 5 working days of the Panel hearing.
- D13.8 If a student is not satisfied with the outcome of their appeal they may ask for an external review if there is clear evidence that (a) there has been a breach of

procedure which could have materially affected the outcome of the decision reached by the Panel and (b) all the procedures outlined above have been exhausted. Procedures for external review are set out in the University *Mitigating Circumstances and Academic Appeals Regulations*.

D14 Research Degrees which include Creative Work

D14.1 A candidate may undertake a programme of research in which the candidate's own creative work forms, as a point of origin or reference, a significant part of the intellectual enquiry. The creative work must have been undertaken as part of the registered research programme. It must be clearly presented in relation to the argument of a written thesis and set in its relevant theoretical, historical, critical and/or design context. The thesis itself must conform to the usual scholarly requirements and be of an approved length (Regulation D11.5).

D14.2 The final submission must be accompanied by some permanent record (for instance, video, photographic record, musical score, and diagrammatic representation) of the creative work and, where practicable, bound with the thesis. Any material contributing to the research degree must be available for the examiners to view.

D14.3 A candidate may undertake a programme of research in which the principal focus is the preparation of a scholarly edition of a text or texts, musical or choreographic work, or other original artefacts. The final submission shall include a copy of the edited text(s) or collection of artefact(s), appropriate textual and explanatory annotations, and a substantial introduction and critical commentary which set the text in the relevant historical, theoretical or critical context.

D15 PhD by Published Works

D15.1 Registration for a PhD by Published Works is limited to members of University staff, former members of staff or Edinburgh Napier graduates. All candidates must provide evidence of a significant contribution to research and previous academic attainment and will normally be expected to hold a minimum of a good Honours degree. Permission to register will not normally be granted to candidates who have undertaken a significant period of study for a conventional PhD by dissertation, or who already possess a PhD.

D15.2 Candidates must submit an application in writing to the Faculty RDC for initial scrutiny and approval. A Director of Studies, and normally a second supervisor, should be identified and approved by Faculty RDC. The supervisory team should have appropriate experience of successfully supervising at least two PhDs.

D15.3 Following Faculty RDC approval the application should be submitted to University RDC for final approval. The application should include a brief paper outlining the rationale for the proposed thesis, and a list of the publications to be included in its support, indicating the specific contribution made by the applicant to each of the publications.

- D15.4 Once an application to undertake a PhD by Published Works has been approved by University RDC, authorisation to matriculate will be sought from the relevant school.
- D15.5 The thesis should be structured in two parts:
1. A critical appraisal of the cited published works. This must include: aims, description, analysis and synthesis of the research programme and published works; the basic thesis and any relevant hypotheses. This document can be seen as replacing the conventional literature review and summary/conclusions chapters of a normal doctorate.
 2. The body of evidence to support the thesis. Normally this will be at least six substantial journal articles or equivalent publications.
- D15.6 Material used in support of a PhD by Published Works may include books, papers, patents, reports, artwork, electronic materials and other examples of original work. The majority of the published works must have the candidate as the principal author and have been subjected to appropriate peer review such as appearing in traceable peer reviewed journals or conferences of appropriate standing. Where any work has been carried out by other persons, a signed statement by the applicant of the extent of the contribution of the others will be required. The published works should not normally span a period of greater than 10 years. Material that has already been submitted for a successful award of a research degree, or during a period when the candidate held a postgraduate studentship, is not eligible.
- D15.7 Candidates may submit after three months, and must submit within twelve months of matriculation.
- D15.8 The submission will be in the form of a thesis that includes (in addition to the requirements in Regulation D11.6):
- a) title and contents page
 - b) an abstract summarising the contribution to knowledge represented by the published works;
 - c) the Critical Appraisal;
 - d) a high quality reprint or photocopy (at least A5 and preferably A4 size) of all the publications cited in the application for registration, if necessary giving proof of authenticity. The works must be numbered and correspond exactly with the list cited in the application for registration. If the work is in the form of a book then a copy must be submitted to each examiner. The books will be returned to the applicant after the viva. Unpublished works in support of the application may be appended although only published work will be considered by the examiners;
 - e) a signed declaration that the work has not been submitted for another award.
- D15.9 The examination process will consist of a viva conducted by an internal examiner and two external examiners approved by University RDC. All examiners must be experienced in the process of examining doctoral candidates and one external must have examined at least three. At least one examiner must have substantial experience (normally three or more previous

examinations) of examining UK research degree candidates. The examiners must determine whether:

- a) the works submitted demonstrate that the candidate has undertaken a programme of study and research commensurate with the requirements for the PhD thesis in the chosen field;
- b) the submission demonstrates that the candidate has personally made a systematic and coherent study within a single or closely related field(s);
- c) the candidate has demonstrated an appropriate level of critical analysis and reflection on the research previously undertaken;
- d) the candidate has demonstrated an understanding of research methods appropriate to the chosen field;
- e) the candidate has shown originality by the exercise of independent critical thinking and has made a distinctive contribution to knowledge.

D15.10 At the end of the examination the examiners may recommend that:

| | Decision | Subsidiary Criteria |
|---|----------|---|
| a | Pass | The candidate is awarded the degree. |
| b | Pass | The candidate is awarded the degree, subject to the completion of minor amendments. |
| c | Pass | The candidate is awarded the degree, subject to the completion of substantial amendments. |
| d | Fail | |

D15.11 A candidate will have a maximum of two months to complete minor amendments and six months to complete substantial amendments.

D15.12 Resubmission is prevented for a period of three years.

D15.13 All complaints and appeals will be handled using the procedures set out in Regulation D13.

D16 Professional Doctorates

D16.1 These awards differ from other research awards of the University in having two distinct parts. The initial phase involves a series of structured learning units, and the second phase comprises the completion of a doctoral thesis or a portfolio of journal articles. Students must pass both sections to gain the appropriate award.

D16.2 The due dates for completion of approval of thesis topic and determination of target degree will be determined by the structure of the professional doctorate programme.

D16.3 Student performance on the initial part of the Professional Doctorate will be assessed at an examination board once they have completed all the necessary assessment and set tasks. Student performance in terms of the thesis or portfolio will be assessed by a viva using the procedures set out in Regulations D9 and D10.

D16.4 Detailed rules for individual awards must be approved by University RDC and Academic Board.

D17 Doctor of Science

D17.1 Candidates for this higher degree of the University must:

- (a) be graduates of Edinburgh Napier University of not less than seven years standing, or
- (b) be graduates of other approved Universities of not less than seven years standing, who have served as members of staff (ordinary or honorary) of Edinburgh Napier University for a continuous period of not less than four years, or
- (c) have been Postdoctoral Fellows of the University for a continuous period of not less than four years.

D17.2 Prospective candidates must apply to University RDC for approval of their candidature.

D17.3 Candidates must submit published work in support of their application for candidature. Since the contents of a submission may vary considerably, the format is not prescribed. Material used in support of a DSc may include books, papers, patents, reports, artwork, electronic materials and other examples of original work. The majority of the published works must have the candidate as the principal author and have been subjected to peer review such as is customary before publication in primary archival journals or conferences of appropriate standing. Where any work has been carried out by other persons, a signed statement by the applicant delineating the extent of the contribution of the others will be required. Material that has already been submitted for the successful award of a higher degree is not eligible.

The submission in support of application for candidature must be accompanied by:

- (a) a typed list of its contents;
- (b) a signed declaration that the submission is their own work;
- (c) six copies of an abstract

Submissions in support of application for candidature comprising published papers and similar items should, as far as is practicable in the circumstances, be bound together in a manner that conforms to Regulation D11. The list of contents, declaration and abstract must be incorporated at the beginning of each copy of a bound submission.

D17.4 Once an application to undertake a DSc has been approved by University RDC, authorisation to matriculate will be sought from the relevant school.

D17.5 Submissions for examination (three copies) must be provided to the Research Office within 12 months of the approval of candidature. Two copies of successful submissions will remain the property of the University and one will be returned to the candidate.

D17.6 The submission for examination will be in the form of a thesis that includes the items listed.

- a) Title and contents page.
- b) An abstract summarising the contribution to knowledge represented by the published works.
- c) The critical appraisal.
- d) A high quality reprint or photocopy (at least A5 and preferably A4 size) of all the publications cited in the application for candidature, if necessary giving proof of authenticity.

The works must be numbered and correspond exactly with the list cited in the application for candidature.

If the work is in the form of a book then a copy must be submitted to each examiner. The books will be returned to the applicant after the examination of the submission and viva voce.

- e) A statement, signed by the candidate giving full details of any other degree or postgraduate diploma for which the works, in whole or in part, may have been submitted.

Work submitted for another degree will not, in itself, contribute to the award.

Earlier work may be submitted only when subsequent work develops from it, and assists the examiners in their overall assessment.

The statement must certify for each piece of work submitted, either that the work is the candidate's own or, if undertaken as a member of a research group, the precise contribution made by the candidate to each of the works in terms of initiating or leading the research and in writing up the material.

D17.7 University RDC shall appoint one internal, and two external examiners. Each external examiner should be of recognised eminence in the subject of the submission. For each submission there shall be at least three examiners of recognised eminence in the discipline.

D17.8 At the end of the examination the examiners may recommend:

| | Decision | Subsidiary Criteria |
|---|----------|--|
| a | Pass | The candidate is awarded the degree. |
| b | Fail | The candidate is not awarded the degree. |

The degree shall be awarded only if University RDC, on the recommendation of the examiners, is satisfied that the submission represents both an original and a substantial contribution to advancement of knowledge of the subject and that it constitutes work of high distinction in scholarship and/or research in respect of qualities such as erudition, insight, imagination, innovation and critical balance, such that it has established or confirmed the candidate as a recognised authority in the relevant discipline.

D17.9 A candidate whose work has not been considered worthy of the degree may not reapply for candidature for the degree within five years of his/her first candidature unless the period is exceptionally reduced by University RDC on the recommendation of the examiners.

- D17.10 Candidates for higher degrees may, at the discretion of the University, be permitted to graduate in absentia.
- D17.11 All complaints and appeals will be subject to the procedures set out in Regulation D13.

APPENDIX I: UNACCEPTABLE ACADEMIC CONDUCT BY RESEARCH STUDENTS

Unacceptable academic conduct will be treated as a breach of the Academic Conduct Regulations and will include one or more of: plagiarism, collusion, falsification or fabrication of data, personation, bribery or breaches of any university code of practice, rule, policy or code of conduct relevant to research degree study, defined as follows. This list is illustrative but not exhaustive:

- 1. Plagiarism:** *unacknowledged incorporation in a student's work submitted for academic progression review or viva voce examination of material derived from the work (published or unpublished) of another. Plagiarism may therefore include:*
 - i) The use of another person's material without reference or acknowledgement;*
 - ii) The summarising of another person's work by simply changing a few words or altering the order of presentation without acknowledgement;*
 - iii) The use of the ideas of another person without acknowledgement of the source;*
 - iv) Copying of the work of another person with or without their knowledge or agreement;*
 - v) Use of commissioned material and presented as the student's own.*

- 2. Collusion:** *collusion may exist where a student:*
 - i) is in complicity with another student in the completion of work which is intended to be submitted as either that student's or the other student's own work;*
 - ii) knowingly permits another student to copy all or part of his/her own work and to submit it as that student's own work.*

- 3. Falsification or fabrication of data:** *the presentation of data in reports, projects and records, including draft written work, which is based on evidence which is fictitious, falsely presented as having been carried out by the student, or has been obtained by unfair means. This includes the falsification or misrepresentation of research data.*

- 4. Personation:** *the assumption of one student of the identity of another person with the intent to deceive or gain unfair advantage.*

- 5. Bribery:** *the paying, offering or attempted exchange of an inducement for information or material intended to advantage the recipient in relation to their research degree programme.*

- 6. Breaches of any university code of practice, rule, policy or code of conduct relevant to research degree study:** *this may include university, faculty and school rules and requirements concerning research ethics and governance, the usage of library, IT and other facilities, health and safety, financial regulations, and other requirements, codes and procedures relevant to research degree study. Research students are expected to observe the university's procedures and regulations for all activities related to the conduct of their studies, such as laboratory health and safety, financial ordering and payment procedures, internal and external research ethics approval procedures, and protocols for dealing with prospective examiners, the publication of findings, and so on. This section refers to non-trivial breaches of these regulations, especially where a student's actions risk damaging the good name of the university or the interests of other researchers.*