

HENLEY MANAGEMENT COLLEGE

COLLEGE ACADEMIC PROCEDURES AND GUIDELINES

AP7

PROCEDURES AND GUIDELINES

RELATING TO PROGRAMMES OF RESEARCH

AND/OR

PROGRAMMES OF STUDY

LEADING TO HIGHER DEGREES

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AP7

Procedures and Guidelines relating to Programmes of Research and/or Programmes of Study leading to Higher Degrees (see also Academic Regulation AR7)

AP7.1 General Requirements

AP7.1.1 *Applications*

- (a) Every application for registration for a programme of research and/or programme of study leading to a higher degree shall be made in accordance with the criteria and procedures approved by the Academic Board, subject to any requirements of the University (where appropriate), using the appropriate application form(s).

AP7.1.2 *Admission Policy and Entry Requirements*

- (a) Admission to a programme of research and/or programme of study may be made subject to an applicant satisfying specific conditions, including:
 - (i) successful completion, at a specified level of attainment, of a programme of study currently being undertaken;
 - (ii) receipt of satisfactory documentary evidence of qualifications held;
 - (iii) receipt of satisfactory references;
 - (iv) attainment of a satisfactory level of competence in the English language in any specified test(s);
 - (v) fulfilment of any specified administrative and funding requirements.

AP7.1.3 *Simultaneous Registration*

- (a) An exception may be made to the general requirement that a participant should not be registered on two degree programmes under these Regulations at the same time (Regulation AR7.4.2) where the participant is registered on a taught programme leading to a postgraduate award for which he or she has already submitted his or her final dissertation for assessment and examination.

AP7.2 Programmes of Research and Study

AP7.2.1 *Guidance on the Programme of Research*

- (a) The proposed topic for any programme of research shall be compatible with the research objectives and focus of the College and

there shall be a reasonable expectation that the candidate is able to complete the programme within the normal maximum period of registration.

- (b) The Programme of Study of participants registered in Stage 1 of the DBA shall be as specified in the Programme Specification.
- (c) Whilst it may not always be practicable to specify the full programme of work to be undertaken by an MPhil/PhD participant when submitting an application for registration, the following shall be determined as soon as possible after initial registration:
 - (i) a schedule of regular meetings between the participant and his or her supervisor(s);
 - (ii) a programme of supporting studies, including any assessed elements or modules, training in research methods, seminars and colloquia;
 - (iii) a target date for the submission of an outline of the proposed thesis;
 - (iv) the planned date for submission of the completed thesis which should comply with the maximum period of registration.

APP7.2.2 *Supporting Studies*

- (a) Each participant shall normally be required to attend such lectures, modules (assessed or other), seminars, colloquia and other elements as his or her Director of Studies or supervisor(s) shall consider necessary.

AP7.3 Mentoring

AP7.3.1 A mentor shall be appointed for all participants registered in Stage 1 of the DBA programme. The role of the mentor is not subject specific.

AP7.3.2 The mentor shall:

- (a) facilitate the personal development of the participant;
- (b) assist the participant in the preparation of the Competence Development Plan (CDP), advise on how to collect "entry level" evidence of competence in Consultancy and Human Resource Development and provide guidance on the formulation of targets;
- (c) wherever possible, attend the participant's Panel Interview, during which the CDP is presented and the targets for future projects, which will form the evidence of personal development, are normally negotiated;

- (d) assess the achievement of the individual in meeting the agreed CDP targets; assess that the evidence of entry level competences and of the achievement of targets is satisfactory;
- (e) assist the participant in making appropriate contacts in order to seek advice on the preparation of the thesis critique, working paper and research proposal.

AP7.4 Supervision

AP7.4.1 Appointment of Supervisors

- (a) Two supervisors shall be appointed for each participant, one of whom shall be designated the principal supervisor.
- (b) Where a programme of research is undertaken by the participant in an Associate Organisation of the College, one of the supervisors shall normally be appointed from the Associate Organisation, subject to meeting the criteria for eligibility established by the Academic Board and the University.

AP7.4.2 Criteria for Appointment

- (a) Both supervisors shall normally be qualified to PhD or equivalent level.
- (b) At least one of the supervisors shall have had appropriate experience of supervising participants to successful completion in programmes leading to higher degrees at the level concerned.
- (c) No probationary member of Faculty, or member of Faculty whose contract of appointment will cease before the end of the planned period of registration, shall be appointed as a principal supervisor.
- (d) The Director of Studies is expected to limit the number of participants supervised by any one member of faculty.

AP7.4.3 Responsibilities of Supervisors

- (a) The Academic Board or, on its behalf, the Research Committee, may issue detailed guidance on the role of principal and second supervisors of MPhil, PhD and DBA participants.
- (b) In broad terms, the responsibilities of supervisors shall include:
 - (i) giving guidance about the nature of research and the standard expected, about the planning of the research programme, about literature and sources, attendance at taught classes, about requisite methodologies (including arranging for instruction where necessary), and about the problem of plagiarism;

- (ii) maintaining contact through the establishment of regular tutorial and seminar meetings and in the light of discussion of arrangements with the student;
 - (iii) being accessible to the student at other appropriate times when advice may be needed or making arrangements for another member of staff to be available;
 - (iv) giving detailed advice on the necessary completion dates of successive stages of the work so that the whole may be submitted within the scheduled registration period;
 - (v) requesting written work as appropriate, and returning such work with constructive criticism in reasonable time;
 - (vi) arranging, as appropriate, for the student to talk about his/her work to staff or at graduate seminars, and, where possible, to have practice in *viva voce* examinations;
 - (vii) ensuring that the student is made aware of inadequate progress or of standards of work below that generally expected.
 - (viii) ensuring that all necessary documentation relating to the student (e.g. the Annual Progress Review Form) is completed satisfactorily and in a timely manner.
- (b) When applicable, a mentor/supervisor shall pay attention to the particular needs of an international participant, including guidance on his or her competence in the English language.

AP7.5 Responsibilities of the Participant

- (a) The Academic Board or, on its behalf, the Research Committee, may issue detailed guidance on the responsibilities of participants.
- (b) In broad terms, the responsibilities of the participant shall include:
 - (i) discussing with his/her supervisors the type of guidance and comments s/he finds most helpful, and agreeing a schedule of meetings;
 - (ii) taking the initiative in raising problems or difficulties, however elementary they may seem;
 - (iii) maintaining the progress of the work in accordance with the stages agreed with the supervisors, including in particular the presentation of written material as required in sufficient time to allow for comments and discussion before proceeding to the next stage;

- (iv) providing annually a short formal report to his/her supervisors for discussion;
- (v) complying with the Code of Ethics of the College;
- (vi) deciding when s/he wishes to submit, taking due account of the supervisors' opinions which are, however, advisory only. The supervisors' recommendation to submit cannot be taken as an indication that the Examiners will find the thesis acceptable for the award of a degree.

AP7.6 Annual Monitoring of Progress

AP7.6.1 Report

- (a) Annually, at a time specified by the College or the University, the supervisor(s)/mentor together with the participant shall submit a written report on the work undertaken during the year, indicating the progress made, using any prescribed format and/or proforma, to the Academic Board or other authorised Statutory Body, or through same to the University, as appropriate.
- (b) The supervisors shall interview the participant, or make contact with him/her by other acceptable means e.g. telephone or electronic mail, to discuss the written report and any other relevant matters prior to its submission.

AP7.6.2 Unsatisfactory Performance or Progress

- (a) Any participant registered for the degree of PhD (whether subject to confirmation or not) or the degree of DBA, whose performance in assessed modules and other elements and/or progress in the programme of research is considered unsatisfactory in the annual review, may be:
 - (i) permitted to continue to be registered for the degree of PhD or DBA or to have his or her registration for the degree of PhD confirmed, subject to undertaking a specified programme of additional study; or
 - (ii) required to transfer his or her registration to the degree of MPhil or taught Master's programme of study, and may be required to undergo further assessment; or
 - (iii) required to withdraw from the programme of supervised research and/or programme of study and from the College.
- (b) Any participant registered for an MPhil, whose performance in assessed modules and other elements and/or progress in the programme of research is considered unsatisfactory in the annual review, may be:

- (i) permitted to continue to be registered for the degree of MPhil, subject to such conditions as the supervisors may determine; or
- (ii) permitted to transfer his or her registration to a taught Master's programme of study, if appropriate; or
- (iii) required to withdraw from the programme of supervised research and from the College.

AP7.7 The Thesis

AP7.7.1 Title

Approval for the final title of the thesis should normally be sought from the supervisors when the assessment and examination arrangements are proposed.

AP7.7.2 Guidance on Requirements

- (a) The general requirements relating to the standard and content of a thesis are set out in Regulation AR7.10.
- (b) The thesis of a candidate submitted in partial fulfilment of the requirements for the award of an MPhil should demonstrate a satisfactory record of research, a broad knowledge and understanding of the field of study and of associated research techniques (successfully applied). The thesis should also include a critical survey of knowledge in the approved field of study.
- (c) The thesis of a candidate submitted as part of the requirements for the award of a DBA or PhD should demonstrate the candidate's ability to undertake an original investigation and piece of research, to test ideas, to display critical powers, to have acquired a thorough knowledge of the field of scholarship and to have acquired a broad knowledge and understanding of his/her discipline. The thesis should provide evidence of the candidate's knowledge of appropriate research techniques and their successful application, and should be a distinct and original contribution to knowledge and scholarship.

AP7.7.3 Submission

With reference to Regulation 7.10.4, the candidate shall submit as many copies as shall be required to ensure that each examiner shall have a copy and that the College and the University shall retain such number of copies as may be needed.

AP7.7.4 Guidance on Submission

- (a) Whilst each candidate shall be responsible for submitting his or her thesis for assessment, the candidate should seek the advice of the supervisors.
- (b) A candidate would be unwise to submit his or her thesis without the support of the supervisors. Conversely, the support of the supervisors should not be interpreted as a guarantee that the candidate will successfully complete the assessment and examination *viva voce*.

AP7.7.5 *Format*

- (a) The thesis shall be written in the English language and should be in a style and form which are suitable for publication.
- (b) There shall be an abstract not exceeding 300 words, immediately following the title page. The College reserves the right to publish the abstract, at its sole discretion.
- (c) The presentation of the thesis shall conform with British Standard BS4821: 1990.
- (d) The following word limits shall normally apply:

	<u>Maximum</u>	<u>Minimum</u>	
MPhil	40,000 words	25,000 words	}
DBA	80,000 words	45,000 words	} including appendices
PhD	100,000 words	60,000 words	}

- (e) Three copies (or such other number as may be stipulated from time to time) of the thesis of each successful candidate shall be permanently bound in such form as shall be specified by the College or the University, as applicable. These copies shall become the property of the College and, where required, of the University.
- (f) Subject to any conditions relating to confidentiality (see AP7.7.7 below), one copy of a thesis submitted for the award a DBA or PhD shall normally be lodged with the British Library.

AP7.7.6 *Published and other Material*

- (a) Any relevant work already published by a candidate may be included in a thesis submitted in partial fulfilment of the requirements for a higher degree, in accordance with Regulation AR7.10.3, provided that:
 - (i) any such work shall be acknowledged in the text ;
 - (ii) a copy of each publication by the candidate referred to in the text is bound into the thesis at the end.

- (b) Any work undertaken by a candidate which has been submitted in partial fulfilment of the requirements of an award of the University or any other university or recognised degree-granting institution of higher education may be included in a thesis, provided that:
 - (i) any such work shall be identified clearly in the text;
 - (ii) no such work shall form a substantial part of the thesis.
- (c) Any work cited in the thesis which was not undertaken by the candidate shall be fully acknowledged.

AP7.7.7 *Confidentiality*

- (a) The period during which a thesis may exceptionally be made subject to confidentiality by the Academic Board or other authorised Statutory Body shall not normally exceed three years.
- (b) An application for confidential cover should be made before submission of the thesis, stating the grounds for seeking confidentiality.

AP7.7.8 *Copyright and Ownership*

- (a) The thesis shall carry a declaration on copyright (Regulation AR7.10.6).
- (b) Unless a thesis is protected by confidential cover, the College shall retain the right to allow a thesis to be copied in whole or in part for study purposes by individuals or for other institutions, subject to proper acknowledgement being given by any such users.

AP7.7.9 *Collaboration*

Where a candidate has undertaken his or her programme in collaboration with others, the extent of that collaboration shall be declared in the thesis, and the contribution made by the candidate shall be clearly indicated.

AP7.8 Assessment and Examinations

AP7.8.1 *Examination Arrangements*

- (a) Each examiner and the arrangements for the examination of the candidate *viva voce* shall be subject to approval by the Academic Board or, on its behalf, the Research Committee and by the University or other external validating body.
- (b) The interval between the candidate's submission of the thesis and the examination *viva voce* should not normally exceed three months.

AP7.8.2 *Examiners*

- (a) A candidate who has followed a programme of research in partial fulfilment of the requirements for the award of a higher degree shall normally be examined by:
 - (i) one External Examiner
 - (ii) one Internal Examiner, who is a member of Faculty or academic staff of the University not being the candidate's principal supervisor. In cases where the internal examiner is a member of the academic staff of the University, a senior member of College Faculty, normally the Director of Studies of Doctoral Programmes, shall also be present.

- (b) Notwithstanding the foregoing, a candidate who has followed a programme of research in partial fulfilment of the requirements for the award of a higher degree who is either a member of staff of the College, the University, or of any Approved Centre or Organisation, or who has been such within twelve months of the date of the examination, shall normally be examined by:
 - (i) two External Examiners
 - (ii) one Internal Examiner, who is a member of Faculty or academic staff of the University not being the candidate's principal supervisor.

AP7.8.3 *External Examiners*

- (a) Each person appointed as an External Examiner shall normally hold a senior academic or professional post (at professorial, readership or senior lectureship level or equivalent) in a university, research establishment, other recognised degree-awarding institution in the United Kingdom, or appropriate commercial, industrial, public service or professional organisation or establishment. S/he should possess specialist, current knowledge in an appropriate field. A person who has not been active in the field within 3 years of the proposed examination shall not be appointed as an External Examiner.

- (b) An External Examiner should satisfy the following criteria for appointment:
 - (i) he or she should be independent of the College, of the University and, where applicable, of any Approved Centre or Associate Organisation;
 - (ii) he or she should not act as an external examiner of research degree candidates from the College on more than three occasions in a two year period; where an external examiner acts on more than one, and up to three, occasions in two

years s/he should, where possible, act with a different internal examiner on each occasion.

- (iii) he or she should not be a candidate for a higher degree by research under these Regulations.
 - (iv) he or she should declare any prior relationship with the candidate or prior knowledge of his/her work.
- (c) The External Examiner or, where there are two or more, at least one of the External Examiners, should have had substantial experience of examining candidates for higher degrees who have participated in programmes of supervised research at the level of the award being sought.
- (d) The Academic Board or, on its behalf, the Research Committee, shall from time to time issue such notes on the role and responsibilities of External Examiners as it shall deem necessary.

AP7.8.4 *The Role of Supervisors in Assessment and Examinations*

- (a) A candidate's principal supervisor shall not be permitted to act as an examiner. Either or both supervisors may be present when the candidate is examined *viva voce*, subject to the agreement of the candidate.
- (b) Any supervisor(s) not attending the examination of a candidate *viva voce* may submit written comments on the thesis to the External Examiner(s) prior to the *viva voce*.

AP7.8.5 *Assessment of the Thesis*

- (a) The assessment of a candidate's thesis shall be deemed to have taken place once the comments of the External Examiner(s) required under Regulation AR7.11.3 (b) have been received.

AP7.8.6 *Viva Voce*

A candidate shall normally be examined *viva voce* in the College or the University or at an Approved Centre or Associate Organisation. An alternative venue in the United Kingdom may be used with the prior agreement of all the examiners and the candidate.

- (a) Subject to any requirements of the University, exceptionally the examination of a candidate *viva voce* may be held in an Associate Organisation overseas with the approval of the Academic Board or, on its behalf, the Research Committee, and with the prior agreement of all the examiners and of the candidate.

- (b) In special circumstances, an examination *viva voce* may be conducted by means of video-conference links, with the agreement of the examiners and the candidate. The conduct of such examinations shall be in accordance with guidelines approved by the Academic Board or, on its behalf, the Research Committee and by the University.

- (c) The candidate's supervisor(s) may be present at the examination *viva voce*, subject to the conditions stipulated at Procedure AP7.9.4 above. Any supervisor(s) present when a candidate is examined *viva voce* shall only speak if so invited by the Examiners.

AP7.9 Cheating and Plagiarism

- (a) The College takes a very serious view of any academic misdemeanour committed by a participant in a programme of supervised research or by a candidate for a higher degree.
- (b) Cheating is defined as the actual or attempted deception or other dishonest action by a candidate in respect of any academic work of the College. Aiding and abetting, or attempting to aid and abet another person in such actual or attempted deception or other dishonest action, shall also be regarded as cheating.
- (c) Plagiarism is defined as the knowing presentation of another person's thoughts, writings and inventions as one's own. It includes the incorporation of another person's work, whether published or unpublished, without indicating that the material is derived from those sources.
- (d) Any person who is found guilty of cheating, plagiarism or other similar academic misdemeanour shall be subject to the Disciplinary Procedures for Misconduct and may be excluded from the programme, the College, an Associate Organisation or the University, as appropriate.
- (e) Where cheating or plagiarism by a participant or a candidate is suspected or alleged in connection with any academic work relating to the programme of research and or study:
 - (i) the supervisor or examiner concerned shall submit a written report to the designated officer of the College, providing full details of the evidence supporting the suspicion or allegation;
 - (ii) the designated officer shall send a copy of the report to the participant or candidate concerned and invite him or her to comment on the allegations within a given time, which shall not be less than seven days;
 - (iii) after the expiry of the given time for the participant to respond, the designated officer shall, whether the candidate has or has not responded, refer the report to the full Board of Examiners, or the Panel of Examiners of the thesis, as appropriate;
 - (iv) if the Examiners decide, in the light of the available evidence and the report of the supervisor and/or examiner, that the case has been made that the candidate has cheated or

committed plagiarism, the candidate's thesis or other assessed work shall be failed;

- (f) With respect to each case of cheating or plagiarism relating to academic work which is upheld by the Examiners, whether the candidate concerned admits or denies he or she has cheated or committed plagiarism, the matter shall be dealt with in accordance with the formal disciplinary procedures for cases of serious misconduct (see Academic Regulation AR8).