

**From the 2017-18 academic session, new Assessment Regulations were introduced for new students on the first year of Professional Doctorate Courses.**

**Details of these Regulations can be accessed via:**

<http://www.tees.ac.uk/docs/index.cfm?folder=student%20regulations&name=Assessment%20Regulations>

**The regulations below are applicable to students who commenced on Professional Doctorate Courses prior to 2017-18 and who elected not to transfer to the new regulations for their Advanced Independent Work.**

**Please refer to your Course Leader for further advice.**

## **Framework and Regulations for the Assessment, Progression and Award of Professional Doctorates**

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#### **APPENDICES**

- E Advanced Independent Work – Requirements for Presentation**

Any queries should be referred to [SERAResponse@tees.ac.uk](mailto:SERAResponse@tees.ac.uk)

## Glossary of Abbreviations:

CAMS	Credit Accumulation & Modular Scheme
CATS	Credit Accumulation & Transfer Scheme
Cert	Certificate of Credit
DBA	Doctor of Business Administration
DClinPsy	Doctor of Clinical Psychology
DCounPsy	Doctor of Counselling Psychology
DHealthPsy	Doctor of Health Psychology
DHSC	Doctor of Health & Social Care
DProf	Doctor in Professional Studies
DrPH	Doctor of Public Health
EA	End-Assessment
EdD	Doctor of Education
FSR	Finance & Student Records
ICA	In-Course Assessment
MA	Master of Arts
MBA	Master of Business Administration
MCh	Master of Surgery
MEd	Master of Education
MEng	Master of Engineering
MPhil	Master of Philosophy
MProf	Master in Professional Studies
MRes	Master in Research
MSc	Master of Science
PgCE/PGCE	Postgraduate Certificate in Education
PgCert	Postgraduate Certificate
PgDip	Postgraduate Diploma
PPQ	Professional Practitioner Qualification
PSRB	Professional, Statutory & Regulatory Body
PsyD	Doctor of Psychology
RPL	Recognition of Prior Learning
RPEL	Recognition of Prior Experiential Learning
SLEC	Student Learning & Experience Committee
UAB	University Academic Board
UCPCE	University Certificate in Postgraduate Continuing Education
UCPPD	University Certificate in Postgraduate Professional Development

## Framework for Assessment, Award & Progression

### 1. FRAMEWORK

The staff-student relationship is one of trust and professionalism, and the assessment of students must have due regard to independence and impartiality. Therefore, Assessment Boards must ensure that there is no conflict of interest during the assessment process.

Where there is a potential for conflict of interest (e.g. relative, partner, or friend of staff member), the academic staff member concerned should never have sole responsibility for the assessment of any course work (formative or summative) or examination script, and a declaration of interest must be made at the time of the Assessment Board (or beforehand to the Chair of the Board) which will discuss the work of the student involved. The member of academic staff will normally leave the room when the individual case is being discussed unless prior dispensation has been given by the Chair of the Board and **this should be recorded in the minutes**.

Where a member of staff (either at the University or approved partner) is a student on the module/programme being considered by the Board, they should not be involved in the Board in any capacity (including acting as secretary to the Board or in any administration of the Board).

Where Assessment Boards are asked to consider outcomes from other regulatory processes (e.g. academic misconduct, fitness to practice), due regard should be given to the impartiality of the Chair and Members of the Board.

Where the Chair of the Board has had previous formal involvement in the specific case under consideration, they must declare an interest and hand the Chair over to an impartial senior colleague whilst the case is discussed. If a Member of the Board has had formal involvement in the specific case under consideration, they should declare an interest and should not take part in the relevant discussion. These declarations and actions **must be clearly recorded in the minutes**.

The University has adopted a 2-tier assessment system. The first stage is concerned with individual modules or clusters of modules (Module Assessment Boards) and the second with progression and awards (Progression & Award Boards). Although Assessment Boards will usually meet on a serial basis with dates co-ordinated centrally within the University, the Boards may be combined provided that the agenda is structured appropriately to separate the module and progression and award issues and provided that cross-School issues are adequately addressed. All Boards will usually meet on at least 2 separate occasions in any one year. The 2 meetings are an "End of Academic Progression Session" meeting and a Reassessment meeting to deal with reassessments. Meetings at other times are permitted, particularly where there are issues associated with progression and awards.

Where the pattern of provision requires, Schools may operate with multiple Module Assessment Boards feeding into a Progression & Award Board.

## 1.1 Responsibilities and Constitution of Module Assessment Boards

A Module Assessment Board is concerned with individual modules or clusters of modules. External input is provided by Module External Examiners, whose involvement is likely to be spread throughout the year. External Examiners consider the content and mode of assessment and may also wish to visit the University during the academic year to meet students and look at project work.

The timing of Module Assessment Boards will be determined to ensure that all marks/grades are available for the Progression & Award Assessment Boards.

A Module Assessment Board:

- will consider the results of all students taking modules within a particular subject area
- will confirm the marks/grades for each student
- may change individual or cohort marks/grades
- will recommend a reassessment strategy for failed modules and an assessment strategy for deferred modules (where necessary)

**NOTE:** *Normally, individual marks/grades may only be changed when reference has been made to the whole cohort. However, there may be some exceptions, e.g. individual projects or cases of academic misconduct.*

A Module Assessment Board will normally have the following membership:

- the Dean of the School or his/her nominee
- all Module Tutors associated with the modules being assessed
- one or more Module External Examiner(s). (If a Module External Examiner is not going to be present (s)he must be consulted)
- an Officer of the School/Partner College appointed by the Dean to record the deliberations and decisions of the Board and ensure that they are entered on the central University computer system (referred to throughout this document as the "SITS" system), in order to inform any relevant Progression & Award Boards.

Responsibility for the accuracy of such data lies with the Chair of the Module Assessment Board.

**NOTE:** *The University reserves the right to send a representative to any Assessment Board chaired and administered by a Partner College.*

## 1.2 Responsibilities and Constitution of Progression & Award Boards

A Progression & Award Board is the body that makes decisions about students' progression and, where appropriate, about the granting of awards which may include classification. A Progression & Award Board will usually deal with one or more associated named awards. The Board is concerned with the student's profile of marks/grades. Its role is to apply the appropriate Progression & Assessment Regulations fairly across all students. It may only change results through compensation, all other alterations to marks/grades falling within the remit of the Module Assessment Board.

An External Examiner associated with this Board is a Progression and Award Examiner. His/her role at this Board is to guarantee fairness and equity and ensure that

comparability of standards is maintained between students and across different years of a programme.

A Progression & Award Board will consider the overall performance of students. It will:

- receive the module marks/grades, compensating marks/grades where appropriate
- determine whether or not students may proceed with their programmes of study
- determine a reassessment schedule for individual students with module fails
- recommend appropriate counselling for students with particular difficulties
- make decisions regarding the granting of intermediate and final awards for students satisfying the appropriate award requirements

At its discretion, a Progression & Award Board may limit or terminate the period of study of a student who, in its opinion, is failing to make adequate progress towards the completion of the programme of study for which they are registered.

A Progression & Award Board will normally have the following membership:

- the Dean of the School or his/her nominated representative
- Programme Director(s)/Leader(s)/Co-ordinator(s) (or equivalent)
- Pathway Leaders (or equivalent)
- one or more Award External Examiners where any undergraduate awards of more than 60 credits and postgraduate awards of 60 credits or more are being made
- an Officer of the School/Partner College appointed by the Dean to record the deliberations and decisions of the Board and ensure that they are entered on SITS
- where it is agreed that Partner Colleges will chair and administer the Progression & Award Board, a representative of the University will attend to provide support and guidance

Responsibility for the accuracy of the data lies with the Chair of the Progression & Award Board.

**NOTE:** *Exceptionally, where appropriate, a specific Module Tutor may be invited to attend the Board by the Dean or nominee.*

### **1.3 Responsibilities and Constitution of a Mid-Year Assessment Board**

Where module delivery is semester based, a Mid-Year Assessment Board can be convened at the end of the students' first semester to ratify completed modules and offer reassessment within defined limits.

A Mid-Year Assessment Board:

- will consider the results of all students taking modules within a particular subject area
- will confirm the marks/grades for each student
- may change individual or cohort marks/grades
- where students have made a genuine attempt, offer students with failed components of assessment a reassessment opportunity
- determine a reassessment schedule
- recommend appropriate counselling for students with particular difficulties

A Mid-Year Assessment Board will normally have the following membership:

- the Dean of the School or his/her nominee
- all Module Tutors associated with the modules being assessed

- one or more Module External Examiner(s). [If a Module External Examiner is not going to be present, (s)he must be consulted.]
- Programme Director(s)/Leader(s)/Co-ordinator(s) [or equivalent]
- an Officer of the School/College appointed by the Dean to record the deliberations and decisions of the Board, and ensure that they are entered on to central University/College computer system (referred to throughout this document as the “SITS” system), in order to inform any relevant Progression & Award Boards

A Mid-Year Assessment Board cannot make awards or determine that a student cannot proceed with their studies.

**NOTE:** *The University reserves the right to send a representative to any Assessment Board chaired and administered by a Partner College.*

## 1.4 Module Assessment

Every module is assessed by one or both of the following forms of assessment:

### 1.4.1 In-Course Assessment [ICA]

Any summative assessment work carried out in parallel with the delivery of the module which is normally completed during the period of the module. Such work must be submitted by the end of the Module at the latest, but may have an earlier submission date. An ICA may consist of a number of separate assessment elements, which will be grouped together to form **one assessment component**.

### 1.4.2 End-Assessment [EA]

Any summative assessment carried out following the completion of the delivery of the module but during the period of the module. Frequently, this may be a time-limited assessment under invigilation during the last 2 weeks of the period of the module. Where the EA is not an unseen piece of work, it may be issued to students during the course of the module so that they may begin preparation. In such cases, it is anticipated that the assessment will take place following completion of delivery of the module. An EA forms **one assessment component**.

Normally, no module may be assessed by more than 2 components but these may be both ICAs and EAs. Where programmes, due to employer or PSRB requirements, require an additional third pass/fail component, this can be agreed via the programme approval process without a formal application to the Student Learning & Experience Committee [SLEC]. For those modules having 2 assessment components, the weighting is to be approved at an Approval Event. The 2 assessment components may be referred to in School documentation as Assessment 1 and 2.

**NOTE:** *The above refers to summative assessment. The use of additional formative assessment is encouraged but teaching teams should be especially aware of the dangers of over assessment. The mode of assessment should support the learning outcomes of the module.*

*The number and nature of assessments to be included within each module should be clearly identified within the relevant Module Specification.*

Normally, student performance, progression and achievement are measured in terms of marks awarded to assessment components, modules and stages, and their comparison

with clearly defined, numeric pass, progression and achievement targets. However, in Higher National [HN] and Foundation Degree [Fd] programmes, student performance, progression and achievement may be measured in terms of marks and/or grades.

In these circumstances, it will be the responsibility of the Module Team to recommend overall student grades or marks for each module with reference to module assessment criteria, and it will be the responsibility of the relevant Assessment Boards to determine student progression and achievement, based upon their professional academic judgement.

#### 1.4.3 Vivas

In exceptional circumstances, where the relevant Deputy/Associate Dean has reasonable grounds to suspect that a piece of work submitted for assessment has not been produced by the student, the student may be required to attend a viva to explore the student's understanding of the material contained in the work. The relevant Deputy/ Associate Dean is expected to ensure that students are advised, via the relevant handbook, that it is in their interests to retain written or other materials that can be used to evidence the development by them of the piece of work submitted [*also see [Regulations Relating to Academic Misconduct \(Taught Components and Programmes\)](#)*].

### 1.5 **Extenuating Circumstances (Mitigating Circumstances)**

Mitigating circumstances should be formally considered **before** Module and Progression & Award Board meetings [*also see the Extenuating Circumstances Regulations <http://www.tees.ac.uk/docs/DocRepo/Student%20regulations/Academic%20Regulations/Extenuating%20Circumstances%20Regulations.doc> which may be varied from time-to-time*].

### 1.6 **Preamble to Regulations**

The following features form part of the University's approach to assessment and progression. Their precise application is set out below in the Programme Regulations:

**NOTE:** *None of the following features are an automatic right, they should be applied at the discretion of the Progression & Award Board.*

*Compulsory Modules may be declared to be excluded from the application of compensation and stage credit provisions at Programme Approval, and recorded in programme specifications.*

#### 1.6.1 Discretion

This is the process by which an Assessment Board uses its delegated authority to act according to its academic judgement in relation to a student's performance. Discretion should always be exercised to the benefit of the student, as determined by the Board.

#### 1.6.2 Compensation

This is the process by which a Progression & Award Board, in consideration of a student's overall performance, recommends that credit be awarded for a module in which the student has failed to satisfy the assessment criteria. Compensation can only be used in circumstances where the level of failure is marginal and the positive aspects of the overall performance in meeting the stage outcomes outweigh the academic failure.

### 1.6.3 Resubmission

This is the process by which a student who has submitted an assessment by the defined hand-in deadline and is deemed by the Module Tutor not to have passed the assessment (but is considered to have made a genuine attempt), may undertake further work on the assessment prior to the work being formally considered by a Module Assessment Board. Students will be allowed only one resubmission opportunity for any assessment component.

Where resubmission is not possible because of the style of the assessment or other issues, then this will be agreed at Module Approval and recorded on the *Module Specification Form* [\[UTREG2\]](#).

**NOTE:** *A resubmission opportunity is not available following re-assessment.*

### 1.6.4 Reassessment

This is the opportunity granted by a Progression & Award Board for a student to attempt on a second occasion, without formal restudy, failed assessment components of a module, usually via a new piece of work.

Reassessment will normally take place at the first available opportunity and the results considered at the next scheduled meeting of the Progression & Award Board.

**NOTE:** *Non-submission of work for assessment will be taken into consideration when Assessment Boards exercise discretion in offering reassessment opportunities.*

*Where a student has taken a reassessment opportunity, the mark that is entered on SITS is whichever is the higher of the initial assessment mark or the reassessment mark (capped if necessary).*

### 1.6.5 Restudy

This is the opportunity granted by a Progression & Award Board, following a module fail after reassessment or resubmission, for a student to attend the module the next time it is delivered; and to attempt **all** the assessment components of the module, including those passed on the first occasion. Restudy assessment will coincide with the normal assessment pattern for the module. No restriction applies to the marks/grades awarded and one further reassessment opportunity may be offered on module failure.

Normally students will only be allowed one restudy opportunity. Restudy is only available for failed modules, except where a student is allowed to restudy a stage and, by agreement, is retaking all modules in that stage. In such cases, any credit already gained for that stage must be discarded.

Once an award has been made, students will not be allowed to restudy any part of that award.

Students who have passed a module will not normally, except for deferred assessments, be allowed an opportunity to restudy or repeat the assessment(s) for that module.

### 1.6.6 Deferred Assessment

This is the opportunity granted by a Progression & Award Board for a student to be assessed as if for the first time, for reasons upheld by a properly constituted Mitigating Circumstances Board.

The format of deferred assessments will be determined by the relevant Module Assessment Board(s).

**NOTE:** *Deferred assessment in compulsory modules must be passed before consideration for an award. Compulsory modules are those modules, specified at a Programme Approval event, in which students must gain credit to be eligible for the named award. Compulsory modules will be recorded in programme specifications as either “Compulsory modules excluded from compensation and stage credit”, or as “Compulsory modules included in compensation and stage credit”.*

Deferred assessment is normally the only opportunity offered to a student to allow them to undertake another assessment opportunity in a module/modules where they have received a pass mark for that module.

### 1.6.7 Stage Credits

This may be awarded at Stages 1 and 2 of Undergraduate and Foundation Degree programmes to facilitate progression where a minimum level of overall performance has been achieved.

## 1.7 **Deadlines and Extensions for Assessment**

It is the responsibility of students to attend examinations and to submit work for assessment by the set date for that assessment.

Where a student's circumstances are such that the student feels unable to meet this deadline, the student is strongly encouraged, as soon as possible, to discuss his/her circumstances with an appropriate member of academic staff (usually the module leader) in advance of the submission/examination date. The member of staff will help the student identify a suitable type of extension, depending on circumstance. The possible types of extension are set out in the Extenuating Circumstances Regulations <http://www.tees.ac.uk/docs/DocRepo/Student%20regulations/Academic%20Regulations/Extenuating%20Circumstances%20Regulations.doc> the student should make an application as detailed in the Extenuating Circumstances Regulations.

In some cases it may be appropriate for the student to apply for Mitigating Circumstances. These are the subject of a specific procedure, which is set out in the Extenuating Circumstances Regulations

<http://www.tees.ac.uk/docs/DocRepo/Student%20regulations/Academic%20Regulations/Extenuating%20Circumstances%20Regulations.doc>.

Where an extension has been approved, the revised hand-in date will be used as the basis for calculating late-submission.

Where an extension has **not** been approved:

- assessment work submitted late will receive a maximum mark/grade associated with the minimum pass requirement, provided it is submitted within 7 calendar days of the published deadline
- assessment work submitted more than 7 calendar days after the published deadline will not be marked/graded

Where the student is submitting assessed work as a reassessment/resubmission and an extension has not been approved, any work submitted after the published deadline will not be marked/graded and the student will be deemed to have failed the assessment concerned.

#### 1.7.1 Extensions for Assignment Submission [See Extenuating Circumstances Regulations sections 3.6.1-3.6.3; 3.8]

A **Short Extension** is an extension of the assessment deadline(s) of up to and including 7 days. It is usually for one module only. It is normally only available for first submission, not reassessment, because of the need for timely progression to the next stage of the programme. A Short Extension should be agreed by a Module Leader or Programme Director/Leader.

A **Long Extension** is an extension of assessment deadlines for longer than 7 days, and may be for more than one module. The length of a Long Extension will be a matter of academic judgement, based on the circumstances of the student. However, the amended deadline should enable timely progression to the next stage of the programme, and for this reason a Long Extension will not normally be offered for reassessment. A Long Extension should be agreed by an Assistant Associate Dean, or nominee.

**Deferred Submission** is normally only available to part-time students, and not normally available for reassessment. It is a longer extension that allows a student to submit up to one calendar year from the original submission date. It should be agreed by an Associate Dean (or nominee).

**Interruption of Studies** is available for a maximum of 2 years in total over the programme of studies or up to the length of time for maximum registration (whichever is the shorter). It should be agreed by an Assistant Dean (or nominee). It requires a formal request from the student giving reasons why an interruption is sought. A formal agreement should be drawn up, defining the academic stage on which studies will be resumed, and including either an agreed date for re-starting studies, or a statement as to when the position will be reviewed and who will initiate that process (School or student).

#### 1.8 **Additional Study**

Students may undertake an additional 30 credits in specific circumstances, e.g. Language Modules.

Any student wishing to undertake further additional study must secure, in writing, the permission of the Dean of their School. The process for doing this is outlined in the [Academic Regulations](#).

Students who have gained sufficient credits for progression or award may not undertake additional study as a means of improving grades and classification outcomes.

## **1.9 Maximum Period of Registration**

All students will be allowed a maximum period of time in which to complete their programme of studies. Students who do not achieve the necessary number of credits for their award within the normal duration of the programme they are undertaking may continue to study the programme on which they are registered by an approved mode of attendance, subject to its continuing availability, the approval of the Progression & Award Board, and the University Registration Period (i.e. normally the standard length of the programme plus 3 years). In exceptional cases, the Progression & Award Board has the discretion to permit a student to extend their maximum registration period on one occasion only, for a time period specified by that Board. This discretion may also be applied to cases where a student has transferred to another programme because their original programme is no longer available.

However, part-time students who have not enrolled as required in the given academic year, or studied the minimum number of credits required to continue on the programme and have not formally suspended their studies, can be withdrawn from the programme by the relevant Assessment Board, and considered for an appropriate intermediate award.

## **1.10 Compliance with Ethical Processes**

All students, where applicable, are required to comply with appropriate ethical release/approval processes as identified in the Policy, Procedures & Guidance Notes for Research Ethics. Failure to do so will invalidate the submission for assessment.

<https://unity3.tees.ac.uk/Departments/USEC/UniversityRegulations/University%20Regulations%20Documents/Policy,%20Procedures%20and%20Guidelines%20for%20Research%20Ethics%202015-16.docx>

## 6. **FRAMEWORK AND REGULATIONS FOR THE ASSESSMENT, PROGRESSION & AWARD OF PROFESSIONAL DOCTORATES**

This framework applies to all Professional Doctorate programmes which are approved and managed via SLEC and assessed via School Assessment Boards and refers only to Professional Doctorates that include taught elements as part of an approved programme of study. Doctorates which consist entirely of research are managed via the Framework & Regulations for the Award of Higher Degrees by Research.

The Chair of Academic Board may establish or amend appendices as recommended by the relevant Committee of the Academic Board, such additions or amendments to appendices are to be reported to the following meeting of the Academic Board.

### **Preamble:**

Professional Doctorate awards are credit-rated and modular, with an emphasis on professionally relevant and practice orientated learning and research that together make an original contribution to knowledge. Professional Doctorate awards are equivalent in time, intellectual demand and academic outcomes to those of a traditional Doctor of Philosophy [PhD] award.

Professional Doctorate awards are given for the creation and interpretation, construction and/or exposition of knowledge which extends the forefront of the discipline and/or professional practice, including by original research.

The University shall award the Professional Doctorates awards as shown in the Schedule of Awards to students who have successfully completed these approved programmes.

Professional Doctorate awards consist of a series of taught modules and the development and submission of a piece of Advanced Independent Work. The student must present and defend the Advanced Independent Work in a viva-voce examination (hereafter referred to as the viva), or an approved alternative, to the satisfaction of examiners. The format of the Advanced Independent Work may differ according to the requirements of the area of professional practice in question and will be discussed and approved as part of Programme Approval processes. The Sections of these Regulations governing the Advanced Independent Work mirror, where appropriate, the [Framework & Regulations for the Award of Higher Degrees by Research](#).

### **6.1 Structure, Credit and Learning Time**

All modules contained within a Professional Doctorate programme will be at either Level 7 (Masters) or Level 8 (Doctorate). Each single unit of credit will be equivalent to 10 notional learning hours.

**NOTE:** *Where Level 7 modules are included in Professional Doctorate programmes, those modules will be assessed using the Assessment, Award & Progression Regulations for Masters Level Taught Degree Programmes, although progression will be governed by the Framework & Regulations for Assessment, Progression & Award of Professional Doctorates.*

All Professional Doctorate programmes must contain a core element of Advanced Independent Work in the form of a project or dissertation of not less than 180 credits, and not more than 300 credits.

The word length of a piece of Advanced Independent Work should be commensurate with the number of credits allocated and with Level 8 outcomes, and should normally be between 25,000 words (180 credits) and 60,000 words (300 credits).

The number of credits, notional learning hours and typical duration of a Professional Doctorate programme is set out below:

<b>Award</b>	<b>CATS Credits and Level</b>	<b>Notional Learning Hours</b>	<b>Normal Equivalent Period of Full-Time Study</b>
Professional Doctorate Approved Programme	540 of which no more than 120 may be at Level 7 and the remainder at Level 8	5400	3 years

Where programmes are delivered in other modes, the Programme Team must demonstrate at approval/review that the award still contains the requisite number of notional learning hours.

Where a particular programme cannot operate wholly within these Regulations, any proposed variance should be tested at the programme approval stage and submitted to SLEC.

The University regards the concepts of Cheating & Plagiarism in Professional Doctorates as serious offences. Allegations of Cheating & Plagiarism in the taught part of Professional Doctorates will be dealt with under the University's *Academic Misconduct Regulations (Taught Components and Programmes)*. Allegations of Cheating & Plagiarism in the Advanced Independent Work part of Professional Doctorates will be dealt with under the University's *Regulations relating to Research Misconduct in Advanced Independent Work (AIW) on Professional Doctorate Programmes*.

Assessment Review processes for all elements of Professional Doctorates will be considered via the University's Academic Appeal Regulations.

Copies of the University's Intellectual Property Policy (Students), including programmes of research of study leading to a higher degree, are available online from <https://unity3.tees.ac.uk/Departments/USEC/UniversityRegulations/University%20Regulations%20Documents/Student%20Regulations/Intellectual%20Property%20Policy%20-%20Students.doc>

These Regulations are considered and approved by the University Academic Board [UAB]. Revisions to appendices may be considered and approved by Chair's action, as determined by the Chair.

## 6.2 Characteristics of Professional Doctorates

### 6.2.1 Admission/Recognition of Prior Experiential Learning [RPEL]

Admission and RPEL requirements must be clearly specified at the programme approval stage. It is not expected that students will be granted RPEL against the Advanced Independent Work part of the Professional Doctorate award.

### 6.2.2 Research Methods Training

All Professional Doctorate programmes must include an element of advanced research methods, defined as specific techniques required to conduct research in a particular discipline, minimally to the value of 60 credits or 600 hours of notional learning time. The programme documentation must state clearly how and where in the programme this is achieved. This aspect of the programme is intended to provide the student with the skills and knowledge necessary for the pursuit of the Advanced Independent Work.

### 6.2.3 Relationship of Credit Bearing Research Training to the Advanced Independent Work

Where credit bearing research training modules are undertaken, any practical work may be related to the research which will form the basis of the Advanced Independent Work, but should not form a substantial part of it.

### 6.2.4 Length of Programme

The normal length of the programme is 3 years full-time or 6 years part-time.

## 6.3 Definitions and Regulations for Taught Modules

**[NOTE: [Section 6.5](#) of these Regulations sets out Regulations for the Advanced Independent Work part of Professional Doctorates]**

### 6.3.1 Assessment

A taught module is assessed by either or both of in-course assessment and end-assessment. The form of assessment is described in the relevant Module Specification [\[UTREG2\]](#) details of which can be obtained from FCD Systems Helpdesk, telephone 01642 (73)8332, or email: [FSRSystems@tees.ac.uk](mailto:FSRSystems@tees.ac.uk).

### 6.3.2 Module Pass

To pass a taught module the student must normally:

- achieve a minimum overall mark of 50%

and where there are two assessment components:

- achieve a minimum mark in each of the two assessment components of 45%.

Alternatively, at the discretion of the Module Assessment Board, a student may be deemed to have passed a module where there are two assessment components, both of which have been attempted and where one of which is less than the specified component pass mark, if the overall mark is 60% or more. This alternative rule will not apply if specific modules have been excluded via Variance.

### 6.3.3 Discretion, Compensation, Resubmission, Reassessment, Restudy, Deferred Assessment, Deadlines and Extension for Assessment of Taught Modules

#### i. **Discretion**

This is the process by which an Assessment Board uses its delegated authority to act according to its academic judgement in relation to a student's performance. Discretion should always be exercised to the benefit of the student, as considered reasonable by the Board.

#### ii. **Compensation**

This is not available at Level 8.

#### iii. **Resubmission**

This applies normally to an assessment and is the process by which a student who has submitted an assessment by the defined hand-in deadline and is deemed by the Module Tutor not to have passed the assessment (but is considered to have made a genuine attempt, i.e. achieved a mark of at least 20% in the assessment) may undertake further work on the assessment prior to the work being formally considered by a Module Assessment Board. Students will be allowed only one resubmission opportunity for any module assessment component. Suitable feedback will be provided to students who are offered a resubmission and a hand-in deadline will be set for the resubmission, but all students must normally have a minimum period of at least 4 weeks to work on any resubmission. However, where it is appropriate, given the type of assessment and the reasons for not passing, a shorter preparation period may be agreed.

Resubmission may be undertaken at the first available opportunity which may be during the period of the module, but the outcome will be confirmed at the next Module Board so that if necessary, the student can progress to reassessment.

Where an extension has not been approved, students who submit within 7 calendar days following the published hand-in deadline will be allowed a resubmission.

The availability of a resubmission opportunity should be determined at Module Approval and recorded on the *Module Specification Form* [\[UTREG2\]](#).

When resubmission is not possible because of the style of assessment or other issues, this will also be agreed at Module Approval and recorded on the *Module Specification Form*.

A student producing a satisfactory resubmission will be awarded a maximum mark of 50%. A student producing an unsatisfactory resubmission can be given a reassessment opportunity.

**NOTE:** *A resubmission opportunity is not available following re-assessment.*

#### iv. **Reassessment**

This is the opportunity granted by a Progression & Award Board, at its discretion, for a student to attempt on a second occasion, without formal restudy, failed components of a module.

The Progression & Award Board, in considering students for progression or award, may determine that the student be reassessed in any failed Level 7 taught credits and in up to a maximum of 60 Level 8 taught credits within a timescale agreed by the Board.

Students who pass a reassessment will be awarded a maximum of 50% for that component of the module, regardless of the actual level of achievement. The module mark will then be recalculated using the 50% component mark and, where applicable, the actual mark from any other component.

**NOTE:** *where a student has taken a reassessment opportunity, the mark that is entered on SITS is whichever is the higher of the initial assessment mark or the reassessment mark (capped if necessary).*

#### v. **Restudy**

This is the opportunity granted by a Progression & Award Board for a student with a module fail following a reassessment to attend the module and to attempt all the assessment components of the module, including any passed on the first occasion. No restriction applies to the marks awarded and one further reassessment opportunity may be offered on module failure. Restudy will be limited to 40 credits in total.

#### vi. **Deferred Assessment**

A Progression & Award Board may, at its discretion, determine that a student be assessed as if for the first time for reasons upheld by a properly constituted Mitigating Circumstances Board. Students who fail a deferred assessment may be offered the opportunity for reassessment.

#### vii. **Deadlines and Extensions for Assessment**

Where an extension has not been approved, ICA work submitted late will receive the module pass mark [see above] provided it is submitted within 7 calendar days of the published deadline and the quality of the work merits a pass mark.

### **6.4 Award and Progression Regulations**

#### 6.4.1 Award

To be eligible for the award of a Professional Doctorate a student must normally achieve a minimum of 540 credits, at least 420 of which must be at Level 8 and 120 which may be at Level 7.

#### 6.4.2 Recognition of Intermediate Achievement

Subject to meeting the requisite regulations, students enrolling on a Professional Doctorate Programme may exit with a Masters award. The student must achieve a minimum of 180 credits at Level 7/8, of which at least 60 credits must be achieved via a successful dissertation or equivalent. Subject to meeting the requisite regulations for the programme and credit requirements, students may also be allowed to exit with a PgCert or PgDip (i.e. without the requirement for at least 60 credits via a dissertation or equivalent).

The title of such awards will be determined at the approval stage of the programme.

Any student enrolling for a Professional Doctorate Programme will not, normally, be permitted to receive an intermediate award unless s(he) withdraws (or is withdrawn) from a programme holding sufficient credits for the conferment of the intermediate award.

### 6.4.3 Progression

#### **General Principle**

Students will normally be required to complete the research training requirements of the programme before proceeding to the Advanced Independent Work element. Students will normally be allowed one reassessment opportunity for all failed components up to a maximum of 60 credits. Students offered reassessments may, at the discretion of the Award Board, be allowed to proceed pending the results of their reassessments. If they are unsuccessful they will normally be required to suspend their progression until the module deficiencies are redeemed or to withdraw and leave with the appropriate intermediate award.

In order to proceed, a student must normally have passed all required modules, subject to deferment and pending the results of any reassessment.

For a part-time student to proceed from one year of the programme to the next, a candidate will normally be expected to pass all modules studied within that year, subject to deferment and reassessments.

#### *i. Progression Points*

Documentation should clearly articulate any areas where sequencing of modules within the programme is critical to programme coherence and the effective “progression” of students through the programme. Exit points should be made clear in the programme documentation.

Each programme should develop a proposal for managing progression, as appropriate to the programme structure, which can be discussed at approval/review. For full-time programmes, progression points are likely to be at the end of each year of study.

As a minimum, one progression point should be included at which a Progression & Award Board determines whether a student has made sufficient progress as to move to the Advanced Independent Work part of the programme. For this progression point, Programme Teams are also required to identify, at approval/review, which modules must be successfully completed before the student is allowed to progress to the Advanced Independent Work. Additional progression points may be included as appropriate to the programme structure.

#### *ii. Progress on the Advanced Independent Work*

Where the Advanced Independent Work is completed following the taught modules, once per year, as agreed at Programme Approval, the Progression & Award Board of the student’s programme of study shall establish whether a student is still actively engaged on the Advanced Independent Work and is maintaining regular contact with the supervisors, and shall consider a report from the supervisor on the student’s progress.

As a result of obtaining this report, the Progression & Award Board shall take appropriate action which may include the withdrawal from the programme. [Section 6.5](#) sets out further specific Regulations for the Advanced Independent Work.

A student whose Progression is not approved may not proceed and withdrawal processes may be initiated by the Progression & Award Board.

#### 6.4.4 Notification of Assessment Outcomes

The Dean of each School must nominate one Deputy/Associate Dean with responsibility for informing all students on programmes managed by that School of the date of notification of their assessment outcomes – “the due date”. Students must be informed of such dates within two weeks of the commencement of their studies.

The relevant Deputy/Associate Dean will remind the Chair of every Award Board based in his/her School of the responsibility of the Chair to ensure that all assessment outcomes must be made available to the students by the due date in the manner previously identified to the students.

In addition:

- a) In the case of final decisions by Award Boards leading to the conferment of Degrees, Foundation Degrees and Higher National Awards (and qualifications of similar level and number of credits), the Chair of the Award Board must ensure that the list of all students achieving a positive assessment outcome is made available, within one week of the due date, on a public notice board within or adjacent to the relevant School. Such a list would exclude any students who have requested “no publicity” through FCD.
- b) In the case of decisions by Award Boards not immediately resulting in the conferment of the award of a Degree, Foundation Degree or Higher National Award (or equivalent), the list of all students achieving a positive assessment outcome must be made available by public notice board, or on the internet, or via e-vision, within one week of the due date. Such a list would exclude any students who have requested “no publicity” through FCD.

Schools must make it clear that it is the responsibility of students to ascertain his/her assessment outcomes.

All module assessment results will be communicated individually to students in the form of percentage marks. The Advanced Independent Work part will be communicated in the form of pass/pass subject to amendment/resubmission with or without viva (or approved alternative)/fail/award of intermediate-award subject to amendments to the Advanced Independent Work [see [Section 6.8.3](#)].

**NOTE:** *Notification of assessment outcomes on University notice boards will be by a simple statement of progression and/or award.*

#### 6.4.5 Aegrotat Awards

An Aegrotat Award may be recommended when an Award Board has incomplete evidence of the student's performance to be able to recommend the award for which the student has studied, or a lower award specified in the regulations, but is satisfied that, other than through illness or other valid causes, the student would have reached the standard required.

In these circumstances, the student (or a person duly authorised by the student to act on their behalf) must have signified, in writing, that s/he is willing to accept the award and that any possibility of reassessment has been waived.

Aegrotat Awards do not carry any classification or distinction and will be listed as one of the following:

Aegrotat Postgraduate Certificate  
Aegrotat Postgraduate Diploma  
Aegrotat Masters Degree  
Aegrotat Professional Doctorate Degree

#### 6.4.6 Posthumous Awards

Any award of the University, as listed in the Schedule of Awards, may be conferred posthumously and accepted on the student's behalf by a parent, spouse or other appropriate individual. The normal conditions of the Award must be satisfied.

### **6.5 Regulations for the Advanced Independent Work**

The Advanced Independent Work part of the Professional Doctorate award forms a separate assessment part of the award. A mark is not allocated for the Advanced Independent Work part but the student is required successfully to complete the Advanced Independent Work part in order to be eligible for the Professional Doctorate award.

This Section refers to the assessment of the Advanced Independent Work part of the Professional Doctorate programmes. It is intended to reflect the principles underpinning the assessment of Higher Degrees by Research (MPhil, PhD, etc.).

The Advanced Independent Work shall be submitted in accordance with University Guidelines or British Standard BS 4821:1990 [see

**Appendix E** - Advanced Independent Work Requirements for Presentation].

6.5.1 Research Ethics

*i. Personal Responsibility*

The University subscribes to an ethic of personal responsibility by which individual researchers and, in the case of students, their supervisors should have some degree of autonomy and *take* personal responsibility for their research. Directors of Study/Supervisors should bring this to the attention of their students, in addition to the Ethical Guidelines of relevant professional associations.

ii. *Research Ethics Committees, Policy & Guidelines*

Each School has a Research Ethics Sub-Committee, which is a Sub-Committee of the University Research Ethics & Integrity Sub-Committee. The School Research Ethics Sub-Committee will consider ethical issues raised by individual projects undertaken which involve human subjects, either in the experimentation or collection of data. Additional Ethical Clearance may also be required. Students should refer to the University's [Policy, Procedures and Guidelines for Research Ethics](#).

Full ethical approval must have been obtained by the time a student's progression is considered as identified in programme documentation.

Where, during the course of the research, the nature of data collection involving human subjects changes substantially from that in the original proposal, via the Director of Studies, the student shall submit a further revised application for Ethical Approval.

See also Section 6.10.

6.5.2 Assessment of Advanced Independent Work

The examination for the Advanced Independent Work has two stages:

- a) submission and preliminary assessment of the Advanced Independent Work;
- b) defence of the Advanced Independent Work by viva. Where for reasons of sickness, disability or comparable valid cause the Assessment Board is satisfied that a candidate would be under serious disadvantage if required to undergo an oral examination, an alternative form of examination may be approved. Such approval shall not be given on the grounds that the candidate's knowledge of the language of the Advanced Independent Work is inadequate.

The student will be required to defend the Advanced Independent Work in English.

It is the student's responsibility to ensure that the Advanced Independent Work is submitted by the relevant submission date.

A student will be examined by at least two examiners, of whom at least one will be external to the institution and the student's collaborating establishment. At least one of the examiners should have up-to-date professional expertise.

The Progression/Award Board of the student's programme of study will consider the reports and recommendations of the examiners before coming to a decision on the result of the examination.

The Progression & Award Board of the student's programme of study may, subject to its requirements, permit one re-examination of which there are three possible forms [see [Section 6.9.3](#)].

Where the recommendations of the examiners are not unanimous, the Assessment Board of the student's programme of study may:

accept a majority recommendation

**or**

accept the recommendation of the External Examiner

**or**

require the appointment of an additional External Examiner

### 6.5.3 Supervision

#### *i. Supervisory Team*

The *Supervisory Team* will consist of a Director of Studies, Second Supervisor(s), and any appropriate advisors. Normally, the Team will comprise at least one academic supervisor and one practice supervisor to contribute professional practice in relevant fields, in order that the Supervisory Team has appropriate expertise to support the student. The Practice Supervisor may be from the student's employing or sponsoring company.

A record of the Supervisory Team will be noted at the School Research & Innovation Committee for information.

The Director of Studies will normally come from within the University and usually from within the School in which the student is enrolled. The Director of Studies must be suitably qualified for the proposed research and have personal expertise in the student's field of study and/or theoretical approaches to be applied. The Second Supervisor(s) may be from within the University or outside, depending on the expertise available. In the temporary absence of a Director of Studies (for example illness or sabbatical leave), an Acting Director of Studies will be appointed, normally from within the existing Supervisory Team. Students will have a minimum of two and a maximum of three Supervisors.

#### *a) Supervisory Experience*

A Supervisory Team shall normally have had a combined experience of supervising not fewer than two students to successful completion. This may be achieved as follows:

- either at least one supervisor shall have had experience of supervising at least two students to successful completion of a UK Professional Doctorate

**or**

- at least one supervisor shall have had experience of supervising one student to successful completion of a UK Professional Doctorate or Research Doctorate, and have passed the University's Research Supervisors' Training, or approved external equivalent

One supervisor must be able to contribute some specialised knowledge and/or professional practice in the field of study.

#### *b) Research Supervisor Training*

Academics who wish to become Research Supervisors must normally successfully complete an appropriate supervisory training programme, via the Graduate Research School (or appropriate external equivalent), before they undertake any supervisory role. Only in exceptional circumstances will a member of staff be allowed to undertake supervision without such training and in that event, the training programme must be successfully completed within 12 months of the uptake of such a duty.

#### *c) Director of Studies*

One supervisor shall be the Director of Studies (first supervisor) with responsibility to supervise the student on a regular basis. The Director of Studies must normally hold a Doctoral level qualification and must normally be a member

of University staff.

Schools will monitor individual supervisor workloads so that normally, a Director of Studies is not acting as a Director of Studies for more than six students at any time.

A student undertaking a Professional Doctorate or research degree shall be ineligible to act as Director of Studies for another Professional Doctorate student but may act as a second supervisor or adviser.

d) *Additional Advisers*

In addition to the supervisors, an adviser or advisers may be proposed to contribute some specialised knowledge or provide a link with a relevant external organisation. The advisor(s) may be from the student's employing or sponsoring organisation.

e) *Change of Supervisory Arrangements*

A change of supervisory arrangements may be instigated either by the student or a member of the Supervisory Team, in consultation with the relevant Programme Director/Leader and all parties concerned.

f) *Responsibilities of the Supervisory Team and Responsibilities of the Student*

Programme Teams are required to develop a list of responsibilities of the Supervisory Team and of the student that can be discussed at approval/review. They must also develop a mechanism for the effective communication of these responsibilities to students.

g) *Recording of Supervision Meetings*

Mechanisms for the recording of supervision meetings (e.g. either through the use of log books or tutorial records) will be agreed at programme approval.

#### 6.5.4 Exemption from Viva or Arrangement of Alternative Examination

A student shall normally be examined by viva on the Advanced Independent Work, unless as a result of sickness, disability or comparable valid cause, a reasonable adjustment is made in conjunction with the Department of Student & Library Services.

#### 6.5.5 Non-Examiners Permitted at Viva

One supervisor or advisor may, with the consent of the student, attend the viva and may participate in the discussion only if invited to do so by the examiners, but shall withdraw prior to the deliberations of the examiners on the outcome of the examination.

In cases where the above are unable to be present and the student wishes to have University representation in the viva, arrangements should be made for a member of University academic staff with supervisory experience to be present, who may or may not be part of the Supervisory Team.

### 6.5.6 Appointment of Independent Non-Examining Chairs

In Exceptional Circumstances, an Independent non-examining Chair [IneC] can be appointed on the authority of the Chair of the relevant Progression & Award Board.

Students may also request the appointment of an Independent Non-Examining Chair.

The list of Exceptional Circumstances shall include:

- a) where the Examiners' Independent Preliminary Reports indicate that the appointment of an IneC would be desirable;
- b) where (due to unforeseen circumstances) only one Examiner has been able to attend [*in accordance with the "Notes for External Examiners on Viva Voce Examinations" that the Examiners' Independent Preliminary Reports have been submitted in advance and a list of questions from the absent Examiner provided*];
- c) where an Examiners' meeting has taken place without the student being able to attend for reasons of sickness, disability, etc.;
- d) where the Examiners' Independent Preliminary Reports have indicated the possibility of a student failing but there is no member of staff of the University able to be present;
- e) the Progression & Award Board will normally appoint an IneC at the request of a student where the student has put forward a clear rationale for going beyond the normal procedures.

## 6.6 **Examination Procedures**

### 6.6.1 Nomination of Examination Team

Nomination for members of a pool of External Examiners for the Advanced Independent Work module will be forwarded to the External Examiner Sub-Committee and formally appointed via this Committee [see <https://extra.tees.ac.uk/externalexaminers/welcome/Pages/default.aspx>].

Arrangements for the nomination of the Examination Team for individual students shall be determined at programme approval.

### 6.6.2 Notification of Date of Viva Examination

Programme Directors/Leaders should make appropriate arrangements to notify the student, all supervisors and the examiners of the date of the viva examination. Preliminary notification shall include the general time period (e.g. beginning of September) and shall normally be given when work on the Advanced Independent Work commences. The date of the viva should be communicated to students, Supervisors and Examiners, two months in advance.

### 6.6.3 Circulation of Advanced Independent Work to Examiners

- a) The relevant Programme Director/Leader shall ensure that a copy of the Advanced Independent Work is sent to each examiner, together with the Examiner's Preliminary Report form and the University's Framework & Regulations for the Assessment, Award & Progression of Professional Doctorates and shall ensure that the examiners are properly briefed as to their duties.
- b) The relevant Programme Director/Leader shall ensure that all the examiners have completed and returned the Preliminary Reports to the University before the viva

takes place.

## **6.7 Examiners**

### **6.7.1 Composition of Examination Team**

A student shall be examined by at least two and, normally, not more than three examiners [*except where Section 6.8.6 below applies*], of whom at least one shall be an External Examiner, and at least one of whom shall have up-to-date professional expertise. The Programme Director/Leader will oversee the selection of the Examination Team following the mechanisms agreed at programme approval. The student shall have no input into the selection of the Examination Team.

### **6.7.2 Definition of Internal Examiner**

An Internal Examiner shall be defined as an Examiner who is:

- a) a member of staff of the University
- or**
- b) a member of staff of the student's collaborating establishment.

Internal Examiners must be independent of the Supervisory Team and have taken no part in advising the student on the Advanced Independent Work. Members of staff who have acted as the student's Personal Tutor shall be ineligible to act as Internal Examiner for the student.

### **6.7.3 Examination of Staff Candidates**

Where the student and the Internal Examiner are both on the permanent staff of the same establishment, a second External Examiner shall be appointed. A student who is on a fixed short-term employment contract (for instance, a research assistant) shall be exempt from the requirements of this Regulation.

### **6.7.4 Definition of External Examiner**

An External Examiner shall be independent of both Teesside University and the collaborating establishment; shall have taken no part in advising the student on the Advanced Independent Work; shall not have acted previously as the student's supervisor or adviser; or normally, as research collaborator. An External Examiner shall normally not be either a supervisor of another student or an External Examiner on a taught course in the same School at the University.

Former members of staff or former students of the University shall normally not be approved as External Examiners until three years after the termination of their employment or completion of their studies with the University.

### **6.7.5 Experience of Examiners**

- a) Examiners shall be experienced in research in the general area of the student's Advanced Independent Work and, where practicable, have experience as a specialist in the topic(s) to be examined.
- b) Within the limits of a maximum of three examiners, every effort should be made to allocate examiners to cover the academic content of interdisciplinary Advanced Independent Work.

- c) At least one External Examiner shall have substantial experience (that is normally two or more previous examinations) of examining Advanced Independent Work for Professional Doctorate students.

#### 6.7.6 Ineligibility of Professional Doctorate or Research Degree Students to Act as Examiners

No student registered for a Professional Doctorate or research degree, either at this or another institution, shall act as an examiner.

#### 6.7.7 External Examiners' Fees and Expenses

The University shall determine and pay the fees and expenses of the examiners.

### 6.8 **First Examination**

Broadly, the purpose of the viva is to explore and examine the students' understanding of the research topic and his or her ability to defend the written Advanced Independent Work submission.

Professional Doctorate students are expected to demonstrate, within the viva, a systematic understanding and analysis of a substantial body of knowledge at the forefront of an area of policy or practice, the extension of the area's frontier by the creation of new knowledge and a detailed and critical understanding of advanced research techniques/problems within a discipline.

Programme Teams are expected to contextualise the main points relating to the purpose of the viva for their students and to ensure effective communication of these to students, normally via the relevant handbook.

#### 6.8.1 Examiners' Confidential Independent Preliminary Reports

Each examiner shall read and examine the Advanced Independent Work and submit an independent preliminary report on it, normally to the Programme Director/Leader and normally three working days before any viva or alternative form of examination is held, for exchange between the examiners. In completing the preliminary report, each examiner shall, where possible, make an appropriate provisional recommendation subject to the outcome of any viva examination. Except where otherwise authorised by the examiners, the contents of the reports will be held in confidence between the examiners and (following the viva) by the relevant Assessment Board.

#### 6.8.2 Examiners' Final Reports on First Examination

Following the viva the examiners shall, where they are in agreement, submit on the appropriate form, a joint report and recommendations relating to the Advanced Independent Work and viva to the Progression & Award Board. The preliminary reports and joint recommendations of the examiners shall, together, provide sufficiently detailed comments on the scope and quality of the work to enable the Assessment Board to satisfy itself that the recommendation chosen in *Section 6.8.3* below is appropriate.

Where examiners are not in agreement, separate reports and recommendations shall be submitted. The recommendations shall be made on the appropriate form.

### 6.8.3 Examiners' Recommendations

Examiners' recommendations on the Advanced Independent Work must normally be considered under the oversight of the Award Examiner for the Professional Doctorate. Following the completion of the examination, the examiners will recommend that:

- a) the student be awarded a pass for the Advanced Independent Work
- or**
- b) the student be awarded a pass for the Advanced Independent Work subject to amendments being made to the Advanced Independent Work [see Section 6.8.4 below]
- or**
- c) the student be permitted to resubmit the Advanced Independent Work and be re-examined, with or without a viva [see [Section 6.9.3](#) a), b) and c)]

### 6.8.4 Amendments/Revisions

Where the examiners are satisfied that the student has in general reached the standard required for a pass in the Advanced Independent Work but considers that the student's Advanced Independent Work requires some amendments and corrections not so substantial as to call for the submission of a revised Advanced Independent Work, a provisional pass may be recommended. A pass will be awarded subject to the student amending the Advanced Independent Work to the satisfaction of the internal and/or the External Examiner(s), who shall indicate to the student, in writing, the required amendments and corrections.

Following submission of the amended work, the Internal Examiner, in consultation with the External Examiner if requested, will confirm that the amendments have been completed and the Chair of the Progression & Award Board will complete a Chair's action if an Assessment Board is not scheduled.

Amendments constitute spelling or typing errors, minor textual corrections, re-ordering of material or additional paragraphs for further clarification of the research but not requiring further research to be undertaken. The time limit for submission of amendments shall be at the discretion of the examiners, normally subject to a maximum of 3 calendar months, and should not be used as criteria for determining what constitutes such amendments.

The student shall submit the amended Advanced Independent Work within the time limit specified by the examiners.

### 6.8.5 Non-unanimous Recommendations

Where the examiners' recommendations are not unanimous, the Assessment Board may:

- a) accept a majority recommendation (provided that the majority recommendation includes at least one External Examiner)
- or**
- b) accept the recommendation of the External Examiner
- or**
- c) require the appointment of an additional External Examiner

### 6.8.6 Appointment of Additional External Examiner

Where an additional External Examiner is appointed under *Section 6.8.5 c) above*, s/he shall prepare an independent preliminary report on the basis of the Advanced

Independent Work and, if considered necessary, may conduct a further viva. The examiner should not be informed of the recommendations of the other examiners. On receipt of the report from the additional examiner, the Assessment Board shall consider the outcome for the student.

#### 6.8.7 Feedback to Students

Over and above the lists of amendments or revisions to the Advanced Independent Work provided by examiners and verbal comments at the end of the viva, examiners should provide comments on the Recommendation Form, which can be given to the student in writing, on matters such as:

- a) their work;
- b) advice on publication;
- c) their performance in the viva;
- d) other matters of relevance to their research.

### 6.9 **Re-examination**

#### 6.9.1 Criteria and Deadlines

One re-examination of the Advanced Independent Work may be permitted by the Assessment Board, subject to the following requirements:

- a) a student who fails to satisfy the examiners at the first examination including, where appropriate, the viva or approved alternative examination [see [Section 6.8.3](#)] may, on the recommendation of the examiners and with the approval of the Assessment Board, be permitted to revise the Advanced Independent Work and be re-examined;  
**and**
- b) the examiners shall provide the student, through the Assessment Board, with written guidance on the deficiencies of the first submission;  
**and**
- c) deadline for resubmission of revised Advanced Independent Work for re-examination - the student shall submit for re-examination normally within the period of one calendar year from the date of the latest part of the first examination.

#### 6.9.2 Appointment of Additional Examiner for Re-examination

The Assessment Board may require that an additional External Examiner be appointed for the re-examination.

#### 6.9.3 Forms of Re-examination

There are 3 forms of re-examination:

- a) where the student's performance in the first viva or approved alternative examination was unsatisfactory and the Advanced Independent Work was also unsatisfactory, any re-examination shall include a re-examination of the Advanced Independent Work and a viva or approved alternative examination (Advanced Independent Work with viva);
- b) where the student's performance in the first viva or approved alternative examination was satisfactory but the Advanced Independent Work was unsatisfactory, the Advanced Independent Work is resubmitted and if the examiners, on re-examination, certify that the Advanced Independent Work as revised is satisfactory, then the

student may not require a viva or approved alternative (Advanced Independent Work only);

- c) where on the first examination the student's Advanced Independent Work was satisfactory but the performance in the viva and/or other examination(s) was not satisfactory, the student shall be re-examined in the viva and/or other examination(s), subject to the time limits prescribed in *Section 6.9.1 c) above*, without being requested to revise and resubmit the Advanced Independent Work (viva only).

#### 6.9.4 Examiners' Confidential Independent Preliminary Reports on Re-examination

In the case of a re-examination under [Section 6.9.3](#) a), b) and c) above, processes for re-examination will mirror those followed for the first examination, i.e. in accordance with [Section 6.8.1.](#)

#### 6.9.5 Examiners' Final Report on Re-examination

Following the re-examination of the Advanced Independent Work under [Section 6.9.3](#) a), b) and c) above, processes for final reports will mirror those followed for the first examination, i.e. in accordance with Regulations outlined in [Section 6.8.2.](#)

#### 6.9.6 Examiners' Recommendations Following Re-examination

Following the completion of the re-examination, the examiners will recommend that:

- a) the student be awarded a pass in the Advanced Independent Work;  
**or**
- b) the student be awarded a pass in the Advanced Independent Work subject to amendments being made to the Advanced Independent Work [see [Section 6.8.4](#)] with or without the requirement for a further viva;  
**or**
- c) in the case where the written Advanced Independent Work is satisfactory but the student's performance in the viva is unsatisfactory, the student be given one further attempt at the viva;  
**or**
- d) the student not pass the Advanced Independent Work and not be permitted to be re-examined.

Examiners may indicate formally their recommendation on the result of the examination to the student but they shall make clear that the decision rests with the Assessment Board.

#### 6.9.7 Amendments Following Re-examination

Regulations for amendments following re-examination will mirror those for amendments following first examination [see [Section 6.8.4](#)].

#### 6.9.8 Non-unanimous Recommendations Following Re-examination

Regulations for non-unanimous recommendations following re-examination will mirror those for non-unanimous recommendations following first examination [see [Section 6.8.5](#)].

#### 6.9.9 Appointment of Additional External Examiner Following Re-examination

Regulations for the appointment of an additional External Examiner following re-examination will mirror those for appointment of an additional External Examiner following first examination [see [Section 6.8.6](#)].

#### 6.9.10 Notification of Deficiencies of the Advanced Independent Work Following Re-examination

Regulations for notification of deficiencies of the Advanced Independent Work following re-examination will mirror those for notification of deficiencies following first examination.

#### 6.9.11 Feedback to Students

Regulations for feedback to students following re-examination will mirror those for regulations for feedback to students following first examination [see [Section 6.8.7](#)].

### **6.10 Student's Temporary Absence from Viva**

#### 6.10.1 Permission for Temporary Absence

Examiners may, if circumstances warrant and they are in agreement, permit a student to be absent temporarily from a viva.

#### 6.10.2 Student Accompanied

When leaving a viva, students will be accompanied by the Internal Examiner or Observer. In the absence of either, the Examiners are required to contact a person nominated by the Programme Team who would accompany the student.

#### 6.10.3 Time Limit for Temporary Absence

Students will normally be allowed up to 20 minutes' absence before returning to the viva examination.

#### 6.10.4 Circumstances for Temporary Absence

A student may request permission to leave a viva examination, or for the viva to be halted, under the following circumstances:

*i. illness*

- if a student is taken ill during a viva, an Examiner (or Observer, if present) must contact the Programme Director/Leader so that arrangements may be made for appropriate action to be taken and First Aid advice obtained if necessary;
- the nominated person should inform the Programme Director/Leader, if available.

*ii. for personal reasons*

- a student wishing to leave the examination room for any other urgent reason (e.g. to visit the toilet);
- when a student visits the toilet, the extent of supervision is left to the discretion of the person accompanying the student, who must ensure, as far as possible, that the student does not have access to unauthorised material and does not communicate with any other person;

- in the above circumstances, a student will be given 20 minutes to return to the viva.

*iii. other absences from the viva examination*

- in the event of a student withdrawing from the examination room for reasons other than i. and ii. above, the Examiners shall contact the nominated person who will attend the examination room for a briefing on the events. The nominated person will report these events in writing to the Progression & Award Board;
- the Observer, or nominated person should try to find the student and to elicit the reason for the absence, and report the circumstances to the Examiners;
- through the Observer or nominated person, the Examiners should try to encourage the student back to the examination room;
- the nominated person should inform the Programme Director/Leader, if available.

#### 6.10.5 Recommencement of the Viva

When the student returns to the examination room, the Examiners should ensure that the student is at ease and must summarise the last question answered, to help reset the agenda.

#### 6.10.6 Failure to Return to the Viva

Failure to return to the viva shall not, in itself, cause a student to be failed in the assessment.

However, if the student fails to return within the deadline, or leaves without the unanimous agreement of the Examiners, the Examiners may act as follows:

- a) recommend that the remaining part of the viva be dispensed with if they are satisfied that a recommendation on the award can be made in accordance with [Section 6.8.3](#);
- or**
- b) recommend that the viva be rearranged within one month, except if [Section 6.5.2 b\)](#) (exemption from viva or arrangement of alternative examination) applies;
- or**
- c) deem the student to have failed the viva and require that a further viva be rearranged within one month, except that if [Section 6.5.2 b\)](#) (exemption from oral or arrangement of alternative examination) applies.

#### 6.10.7 Rearrangement of Viva

- a) In the case of [6.10.6 b\)](#) or c), a record must be made so that the Examiners can refer back to the earlier discussion and take note of it during the reconvened viva if [Section 6.5.2 b\)](#) (exemption from oral or arrangement of alternative examination) does not apply.
- b) In the case of [6.10.6 b\)](#) or c) or and if [Section 6.5.2 b\)](#) (exemption from viva or arrangement of alternative examination) does not apply, a rearranged viva will be conducted as if for the first time.

#### 6.10.8 Reporting of Incidents

The circumstances of any illness, or other reason for leaving the examination room, including the duration of any absence, must be reported in the Examiners' Report Form on the Recommendations for the Viva.

## Advanced Independent Work - Requirements for Presentation

Programme Teams should communicate guidance on the format, production and presentation of the Advanced Independent Work to students. Where appropriate, this should include guidance on specific disciplinary or Professional, Statutory & Regulatory Body [PSRB] requirements.

### 1. Abstracts

There shall be an abstract of approximately 300 words bound into the Advanced Independent Work which shall provide a synopsis of the research work stating the nature and scope of the work undertaken and of the contribution made to the knowledge of the subject treated. Three loose copies of the abstract shall be submitted with the Advanced Independent Work. The loose copies of the abstract shall have the name of the author, the Professional Doctorate for which the Advanced Independent Work is submitted, and the title of the Advanced Independent Work as a heading.

### 2. Statement of Objectives, Sources and Assistance

The Advanced Independent Work shall include a statement of the student's objectives and shall acknowledge published or other sources of material consulted (including an appropriate bibliography), and any assistance received.

### 3. Collaborative Work

Where a student's research programme is part of a collaborative group project, the Advanced Independent Work shall indicate clearly the student's individual contribution and the extent of the collaboration.

### 4. Pre-publication of Work

The student shall be free to publish material in advance of the Advanced Independent Work submission but reference shall be made in the Advanced Independent Work to any such work. Copies of published material should either be bound in an Appendix, or placed in an adequately secured pocket at the end of the Advanced Independent Work.

### 5. Advanced Independent Work Length

The word length of the Advanced Independent Work is detailed in the relevant handbook and must be adhered to.

### 6. Copies of Advanced Independent Work for Examination

- 6.1 The student shall submit for examination one copy of the Advanced Independent Work for each Examiner, the number to be notified by the Programme Director/Leader.
- 6.2 The copies of the Advanced Independent Work submitted for examination shall remain the property of the University but the copyright in the Advanced Independent Work shall be vested in the student.

## **7. Format of the Advanced Independent Work**

The following requirements shall be adhered to in the format of the Advanced Independent Work submitted for examination. Where a student desires fuller guidance, reference may be made to the *British Standards Institution Specification BS 4821:1990*. Where the University's Regulations differ from BS 4821 in points of detail, a student may follow either:

- a) Advanced Independent Work shall normally be in A4 format, the Assessment Board may give permission for an Advanced Independent Work to be submitted in another format where it is satisfied that the contents of the Advanced Independent Work can be better expressed in that format. A student using a format larger than A4 should note that the production of copies and full-sized enlargements may not be feasible;
- b) copies of the Advanced Independent Work shall 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; the size of the character used in the main text, including displayed matter, shall be in Arial font (not less than font size 11) or Times New Roman font (not less than font size 12). Footnotes shall not be less than 2.0mm for capitals and 1.5mm for x-height (that is, the height of lower-case x – Arial font size 10 or Times New Roman font size 11);
- c) the Advanced Independent Work shall be printed single-sided; the paper shall be white and within the range 70 g/m to 100 g/m;
- d) the margin at the left-hand binding edge of the page shall not be less than 40mm; other margins shall not be less than 15mm;
- e) double or one-and-a-half spacing shall be used in the typescript except for indented quotations or footnotes, where single spacing may be used;
- f) pages shall be numbered consecutively through the main text, including photographs and/or diagrams included as show pages;
- g) the title page shall give the following information:
  - the full title of the Advanced Independent Work
  - the full name of the author
  - that the Professional Doctorate is awarded by the University
  - the Professional Doctorate for which the Advanced Independent Work is submitted in partial fulfilment of its requirements
  - the collaborating establishment(s), if any
  - the month and year of submission.

## **8. Binding of Advanced Independent Work Submitted for Examination**

The copies of the Advanced Independent Work submitted for examination may be in a temporary but fixed binding. Ring binding or spiral binding is not acceptable. Wherever possible, the Advanced Independent Work should be in one volume. However, should it be necessary, because of size, to split the Advanced Independent Work in order to bind in a temporary format (at an appropriate point, perhaps keeping appendices in volume 2), both volumes must show a title page and front cover indicating volume number.

## **9. Final Advanced Independent Work Copies**

- 9.1** Third Party Copyright – because final Advanced Independent Work copies will be held electronically for publication, before submitting their final Advanced Independent Work copies, students shall ensure that they have the permission of any third party copyright owners to include their work in the Advanced Independent Work submitted. However,

where permissions are not forthcoming students must ensure that they edit their material before electronic submission.

- 9.2** Following the award of the Professional Doctorate, the student shall supply to the Secretary for lodging with the University Library and onward supply to the British Library EthOS service on demand/to be retained electronically:
- an electronic copy of the Advanced Independent Work in either Microsoft Word or .pdf format, or alternative (by agreement with the Chair of the Assessment Board), on CD-ROM which shall be labelled with the name of the student, award, date of award and Advanced Independent Work title;
  - a copy of any other media which forms part of the Advanced Independent Work, e.g. film, manuscript, video, as approved for the original submission if not included in the electronic format;
  - a signed Deposit Agreement covering Re-use Licence and Deposit Licence, copies of which will be supplied to the student prior to submission. A copy of the signed Deposit Agreement will be held by the Library.
- 9.3** Until such time as Teesside University's electronic repository is established, one copy of the Advanced Independent Work to be lodged in the University Library.
- 9.4** One copy of the Advanced Independent Work to be lodged in the library of any collaborating establishment.

## **10. Binding of Final Copies of Advanced Independent Work**

Any paper copies submitted to the University Library copy collaborating establishment (and where necessary) shall be bound as follows:

- a) the binding shall be of a fixed type so that leaves cannot be removed or replaced; the front and rear boards shall have 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 student, the qualification, the year of submission, and the volumes numbered if the work has been split; the same information (excluding the title of the work) shall be shown on the spine of the work, reading downwards.

## **11. Agreements**

Where the Progression & Award Board has agreed that the confidential nature of the student's work is such as to preclude the Advanced Independent Work being made freely available in the University Library (and collaborating establishment, if any), the Advanced Independent Work shall, immediately on completion of the programme of work, be retained by the University on restricted access and, for a time not exceeding the approved period, shall only be made available to those who were directly involved in the project.

The Progression & Award Board shall normally only approve an application for confidentiality in order to enable a patent application to be lodged, or to protect commercially or politically sensitive material. An Advanced Independent Work shall not be restricted in this way in order to protect research leads. While the normal maximum period of confidentiality is two years, in exceptional circumstances, the Progression & Award Board may approve a longer period. Where a shorter period would be adequate,

the Progression & Award Board shall not automatically grant confidentiality for two years.