



# **WORKSHOP PAPERS**

## **Stage 3 – Thesis Production and Examination Preparation**

*Research Support & Training  
for Post Graduate Researchers*  
**3-Stage Generic Research Skills Training**

**Anglia Ruskin University**

## Welcome to the Workshop Session

This programme is designed specifically to provide guidance and support in producing your research thesis and in preparing for your Master's or Doctorate examination.

If you require any of the booklets or other course materials in an alternative format or have any other additional requirements please email [research.training@anglia.ac.uk](mailto:research.training@anglia.ac.uk) or call Charlotte Neale on 0845 196 4209.

The Main Aims are to:

**Identify** – the characteristics of a successful thesis

**Recognise** – the necessary skills for writing and producing a thesis

**Examine** – the criteria used by examiners in assessing a thesis

**Discuss** – ways of preparing for the viva

**Understand** – the role of the viva voce

**Explore** – the skills required in the examination situation

### Workshop Session Format

The programme will be organised in a workshop style to maximise participation by those attending. It will consist of brief presentations, analyses, small group and role play activities, plus maximum time for discussion.

*Research Training and Support Team*  
September 2014

If you should need to contact a member of our team, please use this link to our web pages:  
<http://web.anglia.ac.uk/anet/rdcs/research/index.phtml>

## CONTENTS

	Page	
1	Research Degrees Criteria	3
2	Some Preparation for The Viva	4
3	Texts To Support Your Viva Preparation	5
4	Characteristics of Doctoral Studies	6
5	The Thesis: A Suggested Order (an Example)	7
5.1	Your Thesis	8
6	Something for Doctoral Candidates to Think About	9
7	Audit Your Thesis	11
7.1	Auditing Your Doctoral Thesis	12
8	The Completed Thesis: Technical Specification, Number of Copies, and Submission to ARRO	16
9	Copyright	18
10	Examination Arrangements	25
11	Implicitly Inside the Viva	27
12	Thinking About The Doctoral Viva	28
13	Re-examinations	34
14	Preparation for your Viva Voce	35
15	Your Action Points	36

## 1. Research Degrees Criteria

The online Research Degrees Handbook provides a helpful background guide for your intellectual journey towards success in obtaining your postgraduate research degree. However this ***must be read in close conjunction*** with the Research Degree Regulations. Please note that the most recent edition of the Research Degree Regulations at the time of writing is the 15th Edition, revised Sept. 2014. They may be found on the university website under 'Academic office', 'Research Degrees Regulations'. The direct link is:  
[http://web.anglia.ac.uk/anet/academic/public/research\\_degree\\_regs.pdf](http://web.anglia.ac.uk/anet/academic/public/research_degree_regs.pdf)

Please see the Research Degrees Regulations, Sept. 2014, Part A Section 1, and the Research Degrees Handbook, for the principles underpinning the award of research degrees. Information on the assessment of research degrees is also provided in The Senate Code of Practice on Postgraduate Research Programmes, section 10. This Senate Code of Practice may be found in Annex 9 of the Research Degrees Regulations, Sept. 2014.

## 2. Some Preparation for the Viva

Here are a few questions aimed at helping you prepare for your viva. By the end of the Stage III training do ensure that you are fully conversant with the answers.

1. What is a thesis? What is its function?
2. Can a thesis be a diary of events?
3. How do you know that your thesis is ready for submission? Have you audited your thesis (see section 7 of this workshop booklet)?
4. Have I observed the correct format for the abstract in my thesis?
5. Do I need to bind my thesis for the viva?
6. How are examiners chosen?
7. How does an examiner examine a thesis?
8. What is my role at the viva?
9. Suppose that at your viva the first question asked is 'Please tell us what you have achieved in your research' – how would you respond?
10. In your viva one of your examiners is very eminent in an area of research that is similar but not relevant to the research underpinning your thesis. This examiner asks a question that is really outside the research in your thesis – how do you respond?
11. Identify the question that you would least like to be asked at your viva. How would you respond? Does your thesis either answer the question or show clearly that the question would be inappropriate?
12. What role might one of your supervisors have in attending your viva?
13. In addition to the examiners, Anglia Ruskin University appoints, for each viva voce, an independent chair. What is their role?
14. Are typographical errors permissible in your thesis?
15. Following the viva, I have some minor amendments to make to my thesis. When will I be awarded my research degree?
16. You have been awarded your MPhil / MProf / PhD / DProf / MD(Res) – what happens to my thesis?
17. I am asked to provide a copy of my thesis in a digital format for inclusion in ARRO. Are there any benefits from my thesis being made publicly available through ARRO?

### 3. Texts to Support your Viva Preparation

Dunleavy, P. (2003) *Authoring a PhD*, Basingstoke: Palgrave Macmillan (ISBN 1-4039-0584-3)

Hartley, J. (2008) *Academic writing and publishing: A practical handbook*, London and New York: Routledge (ISBN 13: 978-0-415-45322-6 (pbk) ISBN 13: 978-0-203-92798-4 (ebk)

Murray, R. (2002) *How to write a thesis*, Buckingham: Open University Press (ISBN 0-335-20718-9)

Murray, R. (2009) *How to Survive your Viva*, Maidenhead: Open University Press (ISBN 0-335-21284-0)

Oliver, P. (2008) *Writing your thesis*, 2<sup>nd</sup> edition, London: Sage (ISBN 978-0-412-94689-6)

Tinkler, P. and Jackson, C. (2004) *The Doctoral Examination Process: A Handbook for Students, Examiners and Supervisors*, Maidenhead: Open University Press, McGraw-Hill Education (ISBN 0-335-213057)

Trafford, V. and Leshem, S. (2008) *Stepping Stones to Achieving your Doctorate: Focusing on your viva from the start*, Maidenhead: Open University Press (ISBN 13: 978-0-335-225439)

Vitae *Defending your thesis: the viva*, <https://www.vitae.ac.uk/doing-research/doing-a-doctorate/completing-your-doctorate/your-viva> (accessed 12 August 2014)

#### 4. Characteristics of Doctoral Studies

(Doctoral level research will display one or more of these features – but not all of them!)

- Application of conventional research instruments in new fields of investigation
- Combining disparate concepts in new ways
- Creating new understandings of existing and emerging issues
- Demonstration of self-evident rigour and analysis in the design and conduct of the research, with explicit links to other extant research
- Design and application of new field instruments
- Drawing upon wider than normal discipline bases for conceptual frameworks – or to explain findings
- Generating knowledge through rigorous intellectual application, testing and proof that constitutes an addition to knowledge in that area
- Identification of new and emerging issues worthy of investigation and explanation
- Originality in using the work of others

## 5. The Thesis: A Suggested Order (An Example)

Title Page

Preface / Acknowledgements

Abstract

Table of Contents

Lists of Diagrams / Figures / Tables / Photographs / CDR etc.

Copyright Declaration

*The following list suggests the content and order only – please do not use bland headings, for example, Literature Review, for your thesis. Your headings should give the reader a clear understanding as to the subject of your research.*

1. **Introduction**
2. **Review of Literature**
3. **Design of Study**
4. **Presentation of Results**
5. **Discussion of Results**
6. **Summary**
7. **Conclusions and Recommendations**
8. **Appendices, Statistical Tables** (often printed in the main text), **Illustrations** (if any; could be located in the main text)
9. **References** (if provided; **Footnotes** are normally printed at the foot of each page or as Endnotes to each chapter or at the end of the thesis)
10. **Bibliography** – if you really need this, in addition to the References (often preceded by a classification of how the bibliography is organised)
11. **Appendices** (if appropriate to your study)

*N.B. Thesis formats vary according to the conventions of the specific discipline. For example, some disciplines use the term references, some bibliography – with both meaning material referenced in the thesis. Other disciplines use references to be those texts referred to in the thesis and bibliography for additional reading that is not referenced. The examiners may ask about all this material so do not include unnecessary material if it does not really support your research.*

Make certain particular attention is given to: Grammar, Spelling, Punctuation, Clarity of Writing, Footnotes, References, Illustrations and Use of Statistics
---

**Do refer to the Research Degree Regulations (15th edition – Sept. 2014) to ensure that your thesis complies with the formal requirements for the thesis.**

## 5.1. Your Thesis

DO NOT FORGET!

Your contribution to knowledge!

The scholarly nature of a doctoral thesis!

Descriptive text is just that – it is descriptive text!

The excitement that attracted you to the topic of your thesis!

Your obligation to address the needs and expectations of your readers!

The expectations of your readers to be given conclusions in the conclusions chapter!

A long chapter has a more difficult task of holding the attention of readers than a short concise chapter!

The opportunity to leave your readers with a positive impression of the merit of your thesis as an exemplar of doctoral writing and research!

## 6. SOMETHING FOR DOCTORAL CANDIDATES TO THINK ABOUT

**Compose** a title for your doctoral research that is succinct, clearly expressed and not stated in the form of a question – then it will have the potential to attract, and interest, your readers.

**Always** think how you will defend your doctoral thesis as you write your doctoral thesis.

**Decide** on the gap in knowledge that your research will fill, or the specific area of knowledge to which it will contribute. Tell readers how this guided your choice of research design and fieldwork methods and the method of analysing your evidence. Then, in your section of conceptual conclusions within your Conclusion chapter, state quite unambiguously how this quest has been met.

**State** your research approach as assertions – follow it with a full explanation of research choices.

**Remember** that you are writing for the examiners to read. They are your primary audience. Ensure that they find evidence that you are aiming at, and displaying, doctorate level research in your thesis.

**Compose** your text in a clear manner; re-check the grammar and proof read it again – so that the examiners are not distracted by typographical error, grammatical mistakes or sloppy writing.

**State** your research boundaries – and remind your readers again in the Design and Conclusions chapters so that they cannot expect you to have dealt with issues that are outside your research.

**Offer** absolutely clear research questions in your Introductory chapter, remind readers in the Design chapter of them, and then give the answers to these questions in the Conclusions chapter!

**Do not** have a chapter called Literature Review – PLEASE! Use your reading to generate conceptual insights. Allow your reading to produce a clearly stated conceptual framework. Remind the readers how you used the conceptual framework to design your research AND to analyse your findings.

**Remind** the readers how research at the doctoral level can be found in your thesis by stating this clearly in the introductory and concluding chapters. Make sure that you have satisfied yourself and your supervisor(s) that this has been fully achieved.

**Accept** that you are engaged in an academic marketing exercise. YOU are persuading readers – Examiners – that your work is at the doctoral standard. YOU must ensure that you

achieve that quest by checking the academic and technical parts in your thesis to support that claim.

**Recognise** that the CONTENT / SUBJECT part of your research must be accurate and relevant – so it must cite the primary and secondary sources that examiners will expect to see in your thesis.

**Help** the reader with the text of the thesis. Explain. Guide them through the text. Explain. Introduce Parts and Chapters. Explain. Avoid surprises. Explain. Your thesis is NOT a mystery story. EXPLAIN.

**Make** sure that every reference in the text appears within a List of References that follows your final chapter. Do not include any reference in that list which is not included in the text of your thesis. *Please note that conventions vary considerably across subject areas. In some disciplines the convention is to include a Bibliography – this can be the same as References, a rather confusing situation. In some disciplines extensive use is made of footnotes. It is important to observe the conventions for your subject area. Please consult your supervisory team for advice.*

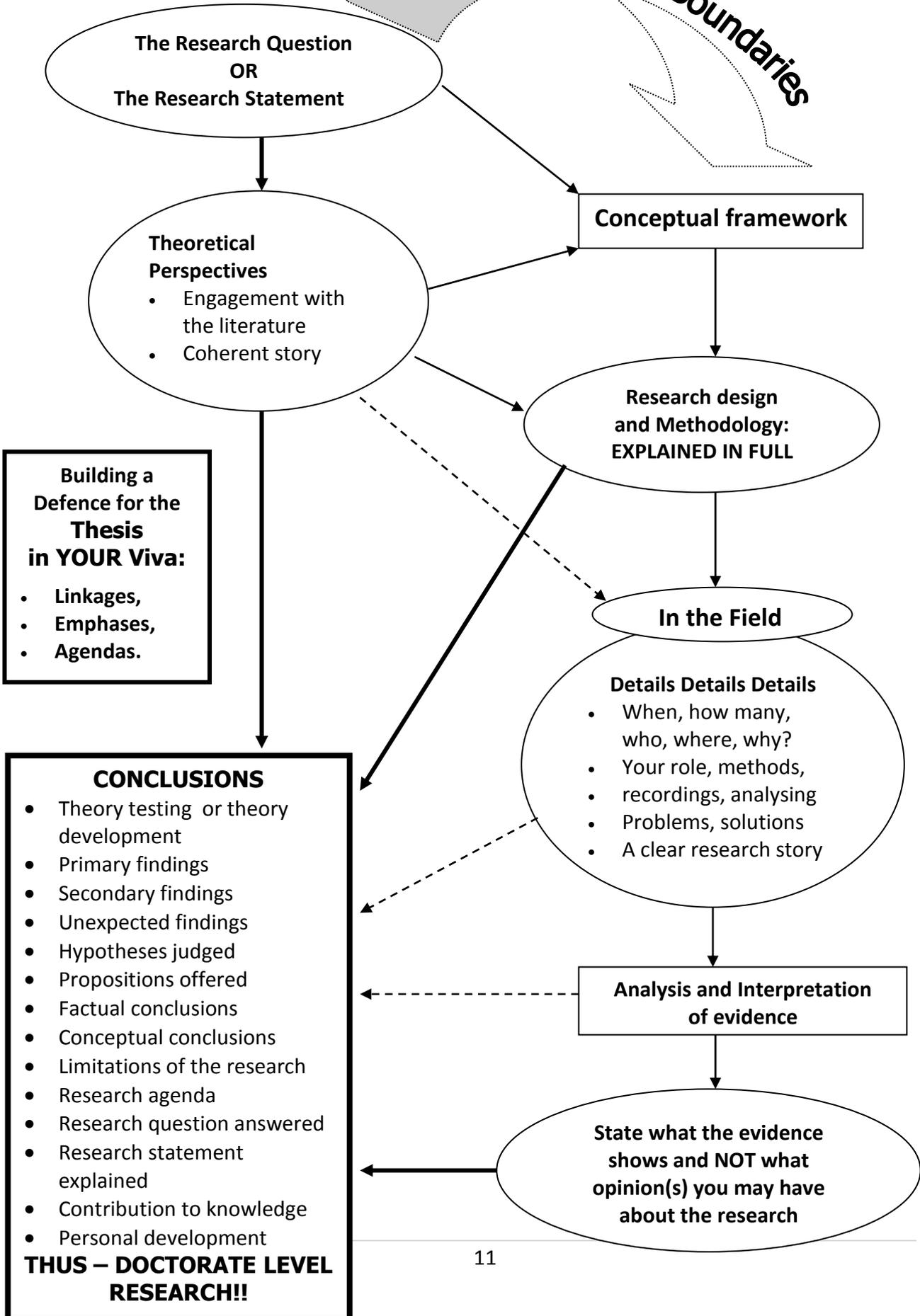
**Note** how your research might be improved and include a critique of your own work. Be honest. Be fair to good work. Be open about other ways that it might have been undertaken. Be critical.

**Never** forget that your thesis is going to be judged MORE on its conceptual foundations, and rigorous analysis, than on the factual findings. **Thus**, give yourself a conceptual framework to work with and then make sure that you explain how it has guided your research.

**Finally**, check that your thesis clearly displays research at master's or the doctoral level, as appropriate. Does your thesis reflect the criteria / features expected of a master's/doctorate?

**7. Audit your Thesis**

*Established Boundaries*



## 7.1 Auditing your Doctoral Thesis

Name:

Start date:

1 Provisional working title of your thesis

--

2 What is / are your principal research question(s)?

--

3 What were your considerations in selecting the structure of Parts and / or chapters for your thesis? Please name the Parts that you are likely to have in your thesis.

--

4 How does your research question derive from and link to your review of the literature and is there any appropriate single founding or seminal paper or framework that you will cite in your thesis?

--

5 How does your research question derive from and link to current issues in professional practice and/or the business or education problem you are addressing?

--

- 6 What is / are the main propositions you have generated, or may yet generate, from questions 2, 3 and 4 that will inform your research design?

7 **Research Design** – are you:

- 7a mainly testing or developing theory?
- 7b following a conventional or innovative methodological approach (compared to the way this type of research question might normally be investigated)?
- 7c using a context that is familiar or unfamiliar in terms of the norms for the subject domain?
- 7d following mainly an inductive or deductive approach?
- 7e intending to extend, challenge or refute existing knowledge/practice?
- 7f focusing more on reliability or validity?
- 7g adopting more of a quantitative or qualitative approach?

8 **Evidence**

- 8a What primary evidence will you seek to collect?
- 8b How will you use / evaluate this evidence?
- 8c What difficulties might you encountering in your data collection process, and how will you avoid / resolve those difficulties?

9 **Research Methods and Tools and Techniques**

What will you use to give added-value to your research? (e.g. text analysis of your interviews, data mining of questionnaire data, conjoint analysis)

10 **Methodological Critique:** how will you demonstrate and support (critically) your methodological stance?

11 What is the intellectual question that you seek to answer or gap in knowledge that you are seeking to fill?

12 Summarise your conceptual framework or the one you will adopt / base your research upon.

13 What are the likely / possible outcomes, or what might be the nature of such outcomes from your research?

13a as factual conclusions?

13b as conceptual conclusions?

13c as conclusions that might inform or enhance professional practice?

14 What reflections are you likely to be able to make on your research question (= the nature of)?

15 What is the likely generalisability of your research findings?

16 **Personal Development:** how will you report, and critique, your personal journey and personal development?

## 8. The Completed Thesis: Technical Specification, Number of Copies, and Submission to ARRO

Do ensure that your thesis complies with the regulations set out in the Research Degrees Regulations, 14th Edition, September 2013. The Research Degrees Handbook also offers advice concerning the preparation and submission of your thesis.

Clarify any queries about the specification for your thesis with your supervisors.

You may wish to pay someone else to word process the final copy. Advertisements for individuals/agencies offering thesis production services can be found in the educational press and appropriate libraries. Think about costs, timing and delivery arrangements. Make certain that you discuss the specification in advance with the person who will be word processing the thesis. Your instructions must be clear. Preparing and word processing the thesis is a substantial task that requires thought and attention.

A postgraduate research thesis is a potential minefield of typographical errors, even if the preparation has been meticulous. Proof reading is more effective if carried out by someone else. If this is not possible, you should leave a gap of several days between the completion of the typing and your proof reading. This will help you see your work with a “fresh eye”. Do not rely on the word processing package’s spell-checker – but do use the grammar checker, together with the advice on grammar and punctuation provided in the mid-phase training booklet for academic writing.

The examiners will expect your thesis to demonstrate clarity of expression. Your writing should be grammatically correct, well punctuated, well formatted and set out to ensure clarity. In the same way that you would not expect to find errors in any book, your examiners should not find errors in your thesis. A thesis containing many errors gives a very poor ‘first impression’.

***Research degree candidates need to obtain permission from their First Supervisor before submitting their thesis for examination.***

*From the Research Degrees Regulations, 15<sup>th</sup> Edition, Sept. 2014, section 11.8:*

*‘Candidates may not submit their thesis for examination or re-examination without the approval of their First Supervisor. A candidate should not assume that a First Supervisor’s agreement to the submission of the thesis guarantees the award of the degree. Candidates have the right to appeal to the Director of Research Students or Director of Research if they are not happy with the decision of their First Supervisor.’*

The submission of the thesis to Anglia Ruskin University is a crucial date. The viva voce examination cannot be arranged until the appropriate number of copies of the thesis have been deposited with the Academic Office for dispatch to the examiners. Candidates are encouraged to submit theses in temporary but secure binding, with official binding only following recommendation of the award.

You should submit sufficient copies for one copy to be sent to each examiner, the independent chair and to any of your Supervisory Team whom you have agreed may observe the viva voce. You will also need a copy for your own use.

Following the award of the research degree, you must provide Anglia Ruskin University with a copy of the bound thesis and a copy in digital format, and a completed Thesis Deposit Agreement Form (see Part A, section 10 of the Research Degrees Regulations, Sept. 2013). The Thesis Deposit Agreement Form confirms your agreement to have your thesis published within the university's Institutional Repository (ARRO).

Anglia Ruskin University will:

- Lodge one bound copy in the Anglia Ruskin University Library and in the library of any collaborating establishment.
- send one copy of the title page, abstract and contents pages of a PhD, DBA, EdD, LLD and DProf thesis to the British Library together with the candidate's signed Doctoral Thesis Agreement Form.

Information regarding the copyright of theses may be found later in this booklet, and in Annex 5 of the Research Degrees Regulations, Sept. 2014.

Information regarding confidentiality aspects of the thesis, and the regulations regarding research that is confidential may be found in the Research Degrees Regulations, Sept. 2014 in Part A sections 3.19 – 3.21.

### **Your thesis and its submission to ARRO**

Following the award of your research degree and provided that your research is not confidential, a digital copy of your thesis will be submitted to ARRO (our Anglia Ruskin Research Online repository). A digital copy of your thesis together with the completed Thesis Deposit Agreement Form which confirms your agreement to have your thesis published with the Institutional Repository (ARRO) should be sent to the Research Degrees Unit in the Academic Office. When preparing the digital copy of your thesis you must ensure that for any diagrams, photos etc. that you have referenced from books or journals, you have received agreement from the holder of the copyright to include these in your digital copy of the thesis. Otherwise these diagrams, photos etc. will need to be removed. Please see the information later in this booklet about Copyright.

ARRO provides a single point of access to our research output and scholarly publications. Additionally, and very importantly, authors benefit from the increased visibility of their work. Thus ARRO aids the rapid dissemination of our research and also ensures that all our research outputs are preserved long term in a secure repository. Further information on ARRO may be found at: <http://libweb.anglia.ac.uk/ARRO.html>

## 9. Copyright

For a good introduction to copyright, go to: Intellectual Property Office – Copyright, at: <http://www.ipo.gov.uk/copy.htm>

The following is from:

ARRO: A Comprehensive Guide (<http://angliaruskin.openrepository.com/arro/>)

### 9.1 What is Copyright?

Copyright is the right of an author, artist or composer to prevent other people from copying an original work. It only protects actual works, not ideas.

In the UK, copyright protection applies to most categories of original work, such as literary works, dramatic works, musical works, artistic works, sound recordings, films, broadcasts and the typographical arrangement of published editions. In the case of literary, dramatic, musical and artistic works, ‘publication’ includes making the work available to the public by means of an electronic retrieval system such as Anglia Ruskin Research Online (ARRO), although public performances or exhibitions may not constitute publication.

To benefit from international copyright protection, copyright owners based in the UK are advised to show the copyright symbol ‘©’ on all copies of their work.

A growing number of research funders, such as the UK Research Councils and the Wellcome Trust, are making it a condition of grant that research output is made available through an open access repository. However, permission to deposit a full text item in an Institutional Repository must be granted by the copyright holder. In the context of research outputs, it is highly likely that the copyright holder will be a commercial publisher. There can, therefore, be a conflict between publishers’ standard policies and requirements imposed by sponsors. This is being recognised and publishers will often specify what conditions must be met in order for work to be included in an Institutional Repository such as ARRO.

Although some online publications are accessible without charge to personal users for non-commercial use, it may still be necessary to seek permission from the copyright holder to re-use the work, including depositing it on an Institutional Repository.

In addition to the rights of publishers, authors need to respect the rights of all other copyright owners when making submissions to ARRO and obtain permission from co-authors and owners of third party copyright. The author may also need to obtain permission from a sponsor if submitting the final report of funded research.

### 9.2 Copyright and journal articles

#### 9.2.1 Ownership of copyright

Underlying the process of publishing a journal article is a publishing agreement. The agreement is the contract between an author and publisher outlining the terms and conditions on which an article, an original work of scholarship, is accepted for publication and made accessible to a wider readership. The agreement is an important step in achieving a balance of rights and responsibilities in the process of scholarly communication.

Typically, when an article is published, the author assigns copyright, or gives a copyright licence, to the publisher of the journal. The particular agreement that is signed determines what rights the author gives up and what rights they retain to use the article. However, the majority of publishers will allow authors to deposit their work in an Institutional Repository under certain conditions and it is possible for authors to negotiate 'changes or exceptions' to standard agreements.

The Copyright Toolbox ( <http://copyrighttoolbox.surf.nl/copyrighttoolbox/> ) continues to act as a reference point for both authors and publishers on publishing agreements and licences. The aim of the resource is to assist authors and publishers to achieve a balance between granting maximum access to a journal article and ensuring financial compensation to the publisher. The toolbox includes an introduction to publishing agreements and licences as well as sample wording for both types of contract.

### **9.2.2 Implications for ARRO**

The conditions and restrictions imposed by journal publishers dictate which version of the paper can be made available. They may require the inclusion of a link to the published version, the inclusion of a statement of copyright ownership, or an embargo on the release of the full text version. When an embargo period applies, Library Staff will ensure that the files are not accessible until the embargo ends.

The majority of journal publishers use a copyright transfer agreement that gives them copyright of the publisher-produced PDF. As the open access movement has gained momentum, however, many publishers have responded by allowing pre-prints and/or the final draft version of papers (post-prints) to be held in open access repositories.

SHERPA runs the RoMEO service, a source of information about journal publishers' standard copyright policies, available at <http://www.sherpa.ac.uk/romeo/> . Publishers are colour coded according to whether or not they permit depositing of pre-prints (yellow), post-prints or publisher's versions/PDFs (blue), both (green) or neither (white). Any additional conditions and restrictions imposed by publishers are listed. Before submissions are accepted into ARRO, the University Library will check in RoMEO to confirm that any copyright restrictions have been met.

In some cases it will be necessary to contact the publisher to request permission to include the article in ARRO. It is important that the request can be seen to come from the author as part of the publisher/author relationship, with some publishers insisting that the author contacts them directly to request permission to include papers in a repository. Authors are advised to write to the editor or officer in charge of authors' rights rather than to a general publisher's email for such permission.

### 9.3 Copyright and books, book chapters etc

#### 9.3.1 Ownership of copyright

As with journals, the process of publishing a book includes a publishing agreement to outline the terms and conditions on which it is accepted for publication, with copyright often being assigned to the publisher of the book.

#### 9.3.2 Implications for ARRO

There is no equivalent to RoMEO for book copyright agreements and the guidance it provides for publishers of journal articles cannot be assumed to apply to books from the same publisher. Therefore it is necessary to rely on the copyright transfer agreement signed by the author, which may also be available on the publisher's website. If it is necessary to contact the publisher to request permission, it is recommended that this is done by the author in order to take advantage of their relationship with the publisher.

As with journals, there are some publishers of open access books. These are edited and sold in the usual manner, and the authors may even receive royalties. However, authors retain the full copyright.

### 9.4 Copyright and theses

#### 9.4.1 Ownership of copyright

According to the Research Degrees Regulations, the 'copyright in any original material produced by candidates of Anglia Ruskin University as part of a course of study on which they are registered' belongs to the University for one year, following which it belongs to the author, unless:

1. the candidate has conditions of employment that immediately vest ownership of copyright in their employer
2. the interests of Anglia Ruskin University are overridden by copyright claimed by an external examining body.

The Regulations confirm that 'copyright in included material shall remain with the owner of such copyright'.

The full requirements regarding copyright of a thesis can be found in Annex 5 of the Research Degrees Regulations.

#### 9.4.2 Implications for ARRO

9.4.2.1 The Research Degrees Regulations require a digital copy of each thesis to be provided for depositing into ARRO.

9.4.2.2 Authors will be asked to complete and sign a Thesis Deposit Agreement which outlines the terms of deposit in ARRO. Authors may also provide an embargo date if they wish to delay public access to their thesis. This is normally two years in the first instance.

9.4.2.3 The form also asks authors to confirm that they have obtained permission for any materials subject to third party copyright to be included in the thesis and in ARRO and to confirm that their thesis can be harvested from ARRO by the British Library for inclusion in the British universities theses database, EThOS (Electronic Theses Online Service). The EThOS Copyright Fact Sheet explains that: 'Traditionally in the UK, for the purposes of examination, inclusion of such copyright material owned by a third party has been accepted as the thesis has not been considered as formally published. This, however, changes where the thesis is made available on an open access basis on the Web. This is because the work is much more visible and subject to wide dissemination and the copies are no longer made for the purposes of examination of the thesis.'

'Where a thesis contains third party material the author should seek permission from the owner of the copyright in that material in order to make it available in an Institutional Repository and in EThOS.'

'Where the author has not, or cannot obtain permission from third parties, then he/she must edit the work before submission to the repository and EThOS. This could reduce the value of the deposited material, and thought should be given as to whether the revised thesis should be deposited.'

9.4.2.4 To clarify the rights of others to use and reuse the work, it is recommended that a Creative Commons licence is used for theses archived in ARRO. The Creative Commons licence will be granted by the copyright owner, whether that owner is Anglia Ruskin University or the author. See Appendix 7 of the ARRO: A Comprehensive Guide (available at: <http://angliaruskin.openrepository.com/arro/>) for details.

## **COPYRIGHT**

**The following text is from: University of Surrey**

<http://libweb.surrey.ac.uk/library/skills/Copyright%20for%20research%20students/index.htm>)

### **What is protected?**

UK law divides material up into some broad categories:

#### *Literary, musical, dramatic and artistic works*

This category covers works that are generally written or drawn onto paper etc. Literary works include material in books, journals, etc; musical works relate to the written musical notation and words if there are any; dramatic relates to the text of plays etc; and artistic

works relate to illustrations and drawn material. Copyright protects all these works in one way or another whether or not the writing is 'good' or the drawing is 'artistic'.

*Films, sound recordings, broadcasts and cable transmissions*

A film will have many elements that are covered by copyright individually eg the words the actors say, and as a work in itself the film will also have copyright. Over and above any copyright in the words or music, a sound recording has copyright, as do broadcasts of that recording. Broadcasts and cable transmissions also include material disseminated via the Internet, and most of the material you find on the Internet (websites, blogs etc) are also in copyright.

*Typographical arrangements*

There is an automatic copyright lasting 25 years in the specific style and arrangement of text in a printed book (say). So if a publisher takes an out of copyright book and then produces a new edition in a different typeface say, then that new version is protected for 25 years from the year of publication.

*Performances*

If your research deals with drama and the performing arts, you might find that you have to deal with copyright as it applies to performances, which are also protected.

*Designs & Trademarks*

These are specialist areas of copyright, but you might have to be aware of the relevant aspect of the law if you yourself are designing an object as part of your research. Although (like written works) designs and trademarks don't have to be registered to have protection, there are such registers in place and getting them registered gives the creators added protection in law.

*Databases*

The contents of a database may be protected under copyright law as Literary Works, and the database itself may have protection under separate legislation for the way in which the material is arranged. This is a complicated area of intellectual property law.

**Typical Copyright Lifetimes**

Copyright laws provide protection for set periods of time. Although there are some variations and individual situations can be quite complicated (especially with works that have multiple authors) the following are the lengths of protection for the various broad categories:

*Literary, musical, dramatic and artistic works*

Protection for the lifetime of the author plus 70 years from the end of the year in which the author died. So as I am writing this in 2009, any book originally written and published by an author who died in 1938 (or earlier) is now out of copyright.

*Film*

Lifetime of author, plus 70 years. For determining this there are four authors: the principal Director, the Screenplay author, the Dialogue author, and the Composer of any original music, and the 70 years starts for the end of the year of the last to die! Hence, copyright in films can last a very long time. In practice the copyright is usually owned by the production company that made the film.

*Broadcasts, sound recordings, cable transmissions, performances:*

In most cases, the copyright lasts for 50 years after the year in which the material was first made available to the public.

*Typographical arrangements*

Protection lasts for 25 years from the end of the year of publication

*Designs*

Unregistered designs can be protected for 10 – 15 years

Registered designs have a longer protection period of 25 years

**Copying for inclusion in a thesis, dissertation, article or book**

Once you come to write up your research findings in a thesis for example, you will most likely want to include quotes from the sources you have consulted. As long as these are 'insubstantial' you do not need to seek permission. So you can include:

- brief quotes – as long as you cite the source of the material
- short passages for the purpose of criticism or review.

The guidelines from publishers suggest that you can quote a single extract of up to 400 words or a series of extracts up to 800 words in total but in blocks of up to 300 words each. In the case of a poem the guidelines say that you can quote up to 40 lines or up to 25% of the poem, whichever is the smaller number of lines. In all cases you must give the correct citation to the source used.

If you want to include longer passages or the whole of another work, for example, a technical specification sheet for a component supplied to you by a manufacturer, then you should definitely seek the permission of the rights holder to let you include it in your work.

There are a few other matters you need to take into consideration:

- Text copied from web pages or other internet sources will almost certainly be covered by copyright laws no matter where it originates. If you want to quote material from such a source, be very careful to check whether or not the author of the page is the copyright holder, and look to see if there are any pages telling you what you can and cannot copy without permission. Also, when you cite an Internet source always include the date on when you copied the material as well as the URL or other source identifier.

- Illustrations, whether they are in a book, journal or on a web page, will have copyright that is separate from the text next to them, although the rights holder for the text and the illustration might well be the same. It is also difficult to determine what is an 'insubstantial' part of an illustration. Therefore, it is always a good idea to get the permission of the rights holder when you want to include an illustration in your work.

Finally, there is a move now to ensure that as many theses and dissertations are available to other researchers through 'electronic repositories'. So when you seek permission from a rights holder to include their material in your work, you should make it clear to them that you are also seeking permission for it to appear in electronic format in a repository.

Illustrations give lots of problems. For an on-line tutorial on searching for images that can be used in your work that are out of copyright or 'copyright-cleared' and free for you to use, see this helpful tutorial: <http://www.vtstutorials.ac.uk/tutorial/image searching/>

#### **Further sources of information on copyright**

The Copyright Toolkit: <http://www.copyrighttoolkit.com/index.html>

JISCLegal: Intellectual Property Rights – Overview:  
<http://www.jisclegal.ac.uk/LegalAreas/CopyrightIPR/IPROverview.aspx>

Is4profit - Basic facts about Copyright:  
[http://www.is4profit.com/business-advice/general-advice/copyright-basic-facts.html?gclid=CPK2\\_sLD05QCFQyvQwodKIKtlw](http://www.is4profit.com/business-advice/general-advice/copyright-basic-facts.html?gclid=CPK2_sLD05QCFQyvQwodKIKtlw)

-----  
Reference: LLSS (2011) Copyright for students. University of Surrey. Available at:  
<http://libweb.surrey.ac.uk/library/skills/Copyright%20for%20research%20students/index.htm> [Last accessed 12 August 2014]

## 10. Examination Arrangements

The regulations regarding the examination may be found in our University Degrees Regulations, 15th Edition, Sept. 2014.

### Appointment of Examiners

Your supervisors should discuss the choice of examiners with you. They will consider carefully the examiners' experience and compatibility (personal and methodological). Examiners are often willing to act as referees for publication of the thesis afterwards.

About six months beforehand, therefore, agree the date for the submission of the thesis and review this regularly with your supervisors. They will contact potential examiners informally about their availability. The Academic Secretariat then handles all examinations arrangements, including contacting the nominated examiners.

Your supervisors will submit an application for the formal approval of (normally) two examiners to Anglia Ruskin University Research Degrees Sub Committee **at least three months before the submission of the thesis**. Your examiners will have to provide a recent c.v. for this application. At least one of them must have substantial examination experience.

You may also find it useful to read Anglia Ruskin University's booklet 'Notes of Guidance for Examiners', which is available from the Research Degrees Administration pages of the under 'examination of research degrees'. The link is:

[http://web.anglia.ac.uk/anet/academic/public/9th edition examiners notes of guidance.pdf](http://web.anglia.ac.uk/anet/academic/public/9th%20edition%20examiners%20notes%20of%20guidance.pdf)

### Preparation for the Viva Voce Examination

You may find it helpful to have a 'mock viva' or rehearsal with your supervisory team. This needs to take place before you submit your thesis. Should the 'examiners' at the 'mock viva' highlight any improvements to be made to your thesis, you then have time to incorporate these improvements before submitting your thesis.

Discuss how you should behave in the examination room. A viva voce is often described as "defending the thesis". Think through your main arguments and what is significant about your research. Give particular attention to the context in which your research was carried out, the design and methodology, your findings and conclusions. While the viva voce is part of the examination, it is also an opportunity to discuss advanced research carried out over several years with fellow experts in the field. The examiners will be looking at the work positively (and may well be nervous themselves!).

Discuss any concerns or queries you may have about the actual event. Nearer the date, prepare for the day by deciding on your clothes and what you will need for the examination.

Normally, examiners have an agreed 4 – 6 weeks to read the thesis and submit an independent preliminary report to Anglia Ruskin University before the examination.

## Examination Day

If your viva voce is timetabled for the afternoon, the examiners and the independent chair, meet over lunch at Anglia Ruskin University before the viva.

The independent chair is present at the viva voce to host the event, co-ordinate arrangements and provide specialist 'case-law' guidance to the examiners. Anglia Ruskin University regulations permit you as the candidate to request up to two members of your supervisory team to be present in the examination room as an observer(s), at your discretion. If your supervisor has been present at the viva he/she will be able to advise you should you be required to make amendments to your thesis.

At the end of the viva voce, you will be asked to leave the examination room, so that the examiners can reach a decision before completing a joint final report.

If the examiners are satisfied you have reached the required standard, they will **recommend** the award of the research degree. Examiners usually inform candidates informally of their decision, sometimes indicating this result at the start or during the viva voce.

Should you fail to satisfy the examiners at the first examination, the examiners will recommend re-submission of the thesis, with or without a further viva by an agreed date, see Part A section 13 of the Research Degrees Regulations (2013) for full details. You will have up to 12 months to resubmit your thesis. Examiners can recommend the award of an M.Phil. or MProf, if they believe a doctorate cannot be achieved, even with a re-submission.

In the case of a referral, it is imperative **on the date of examination** that all concerned are clear about the deficiencies in the thesis and the action needed to correct the weaknesses in the prescribed time. The examiners may indicate in writing at the examination what the deficiencies are and what has to be achieved before re-submission. They will then submit a more detailed joint report from (RD8) within two weeks of the date of examination.

You will not be recommended for the award of a research degree until the examiners are satisfied that any amendments or resubmission satisfies their requirements as set out in the RD8 form that the examiners complete following the viva.

## 11. Implicitly inside the Viva

- Consider:                   The medium is the message.
- Modify it:                   Research content is only a vehicle for displaying Doctorateness.  
*(Note the significance of the word VEHICLE and the relatively low attention given to research content by most doctoral examiners.)*
- Extend it:                   The doctoral viva explores evidence of doctorateness.
- Expand it:                   Doctorateness has to be proven by the candidate to the satisfaction of the examiners at the viva ~ in both written and oral forms.
- Conclude:                   Doctorateness is not to be found in the findings or content of the doctoral thesis but rather in HOW THESE FEATURES WERE DISCOVERED, and the DEFENCE OF THEIR POTENTIAL.

---

Remember that: Examiners meet with the candidate to talk about their thesis – not as a set of findings, but as a vehicle through which candidates have displayed their ability to undertake research at the doctoral level.

---

## 12. Thinking about the Doctoral Viva

By Professor Vernon Trafford and Dr Shosh Leshem, April 2004

<b>THE DOCTORAL VIVA</b>	
<b>IT IS NOT</b>	<b>An interview Embarrassing Confrontational An occasion to fear An opportunity for an argument</b>
<b>IT IS</b>	<b>Friendly Discursive Developmental Something to enjoy Peer recognition of the research An occasion to discuss the research An event that may produce tenseness and anxiety</b>
<i>Professor Vernon Trafford</i>	

<b>EXAMINER ROLES IN DOCTORAL VIVAS</b>
<b>Doctoral theses are examined twice.</b>
<b>FIRSTLY ~ each thesis is read by the examiners who produce an independent report to the University.</b>
<b>SECONDLY ~ in the viva the examiners engage with candidates who are expected to defend their research through an oral examination</b>
<b>In this process, examiners fulfil roles that are:</b>
<b>CONSTITUTIONAL LEGAL SCHOLARLY TECHNICAL</b>
<i>Professor Vernon Trafford</i>

## QUESTIONS ABOUT QUESTIONS

<b>Duration of vivas?</b>	30 - 150 minutes
<b>Who asks questions?</b>	The examiners
<b>How many questions?</b>	As many as are needed
<b>Do Viva Chairs ask questions?</b>	Not normally ~ but may clarify an issue, or ask about the room

<b>Do candidates ask questions?</b>	Not usually ~ dynamics may invite this to happen though
<b>Are questions 'fair'?</b>	Yes. They can be challenged ~ <i>NICELY!</i>
<b>Are questions stated clearly?</b>	Usually ~ and clarification can always be sought

*Professor Vernon Trafford*

## PATTERNS OF QUESTIONS

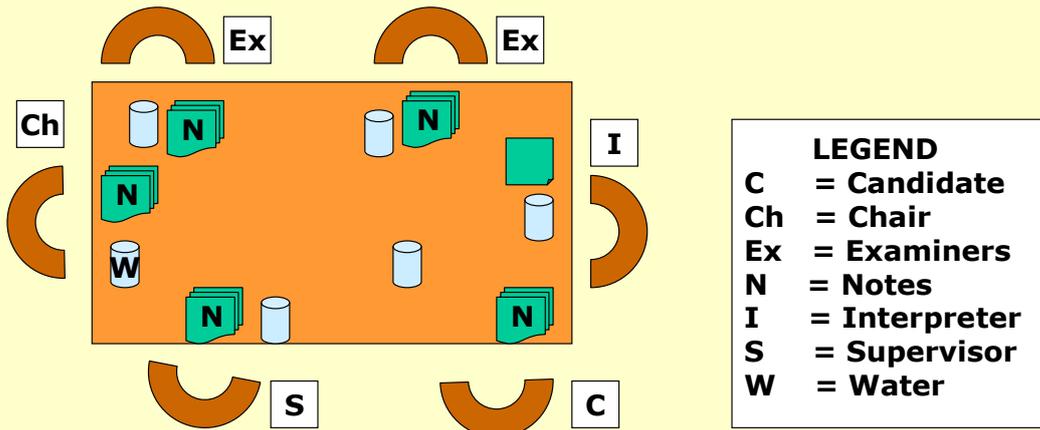
<b>Do questions have a pattern?</b>	Yes
<b>Is the pattern predictable?</b>	Yes ~ to some extent
<b>What is the pattern?</b>	Sequential / Thematic
<b>Who decides on the pattern?</b>	The examiners

<b>Can questions be avoided?</b>	Yes ~ if it is outside the scope of the thesis
----------------------------------	--

<b>Do questions always relate to the thesis?</b>	Usually (see above). BUT ~ if the viva has become a discussion, then the social dynamics will determine the flow of conversation
--	--

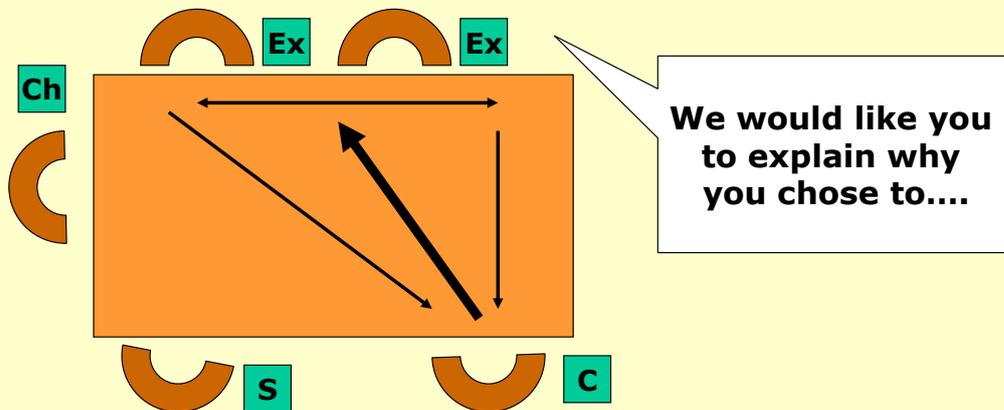
## SEATING ARRANGEMENTS IN THE VIVA ROOM

- All vivas have an independent chair, approved by RDC.
- Supervisors may attend with the permission of the candidate.
- An interpreter can attend to translate on behalf of the candidate.
- The examination team consists of either an internal and external examiner, or two external examiners.
- If the candidate is a member of staff, then two external examiners will be appointed and an internal examiner may also be appointed.



*Professor Vernon Trafford*

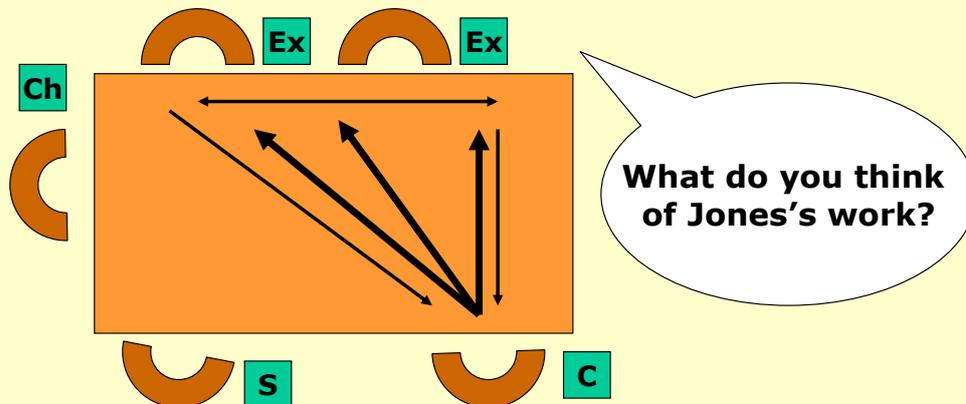
## MODEL A: EXPLORING AND DEFENDING THE THESIS



- Examiners ask 'formal' questions in a controlled conversation
- Examiners probe the knowledge and understanding of candidates
- Candidates explain and defend their conceptual position(s), research design and conclusions
- Examiners confirm their initial views about the scholastic nature of the thesis and the candidate

*Professor Vernon Trafford*

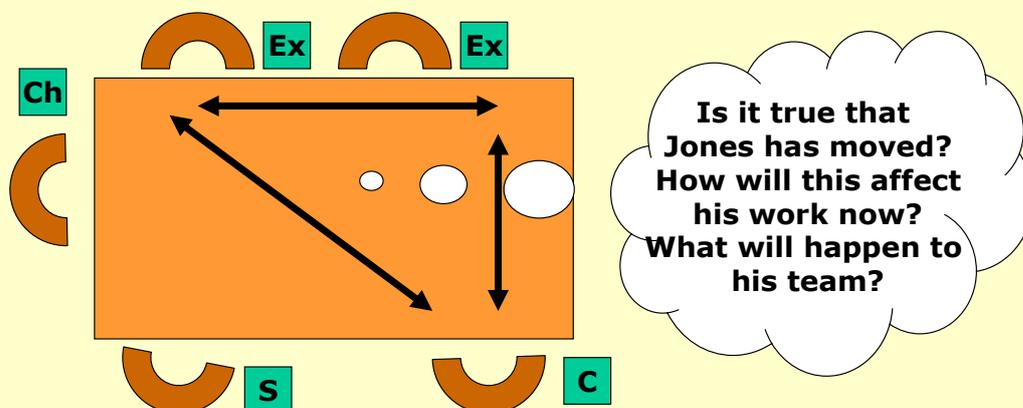
### MODEL B: RECOGNITION OF SUBJECT EMPATHY



- More discursive and less directive than in Model A
- A relaxed relationship between examiners and candidate
- Questions may turn into 'conversations' with 'paired' discussions
- Questions from examiners arise from discussions or non-verbals
- Open-ended questions move from the detail of the thesis to wider interpretations of authors, concepts or research processes

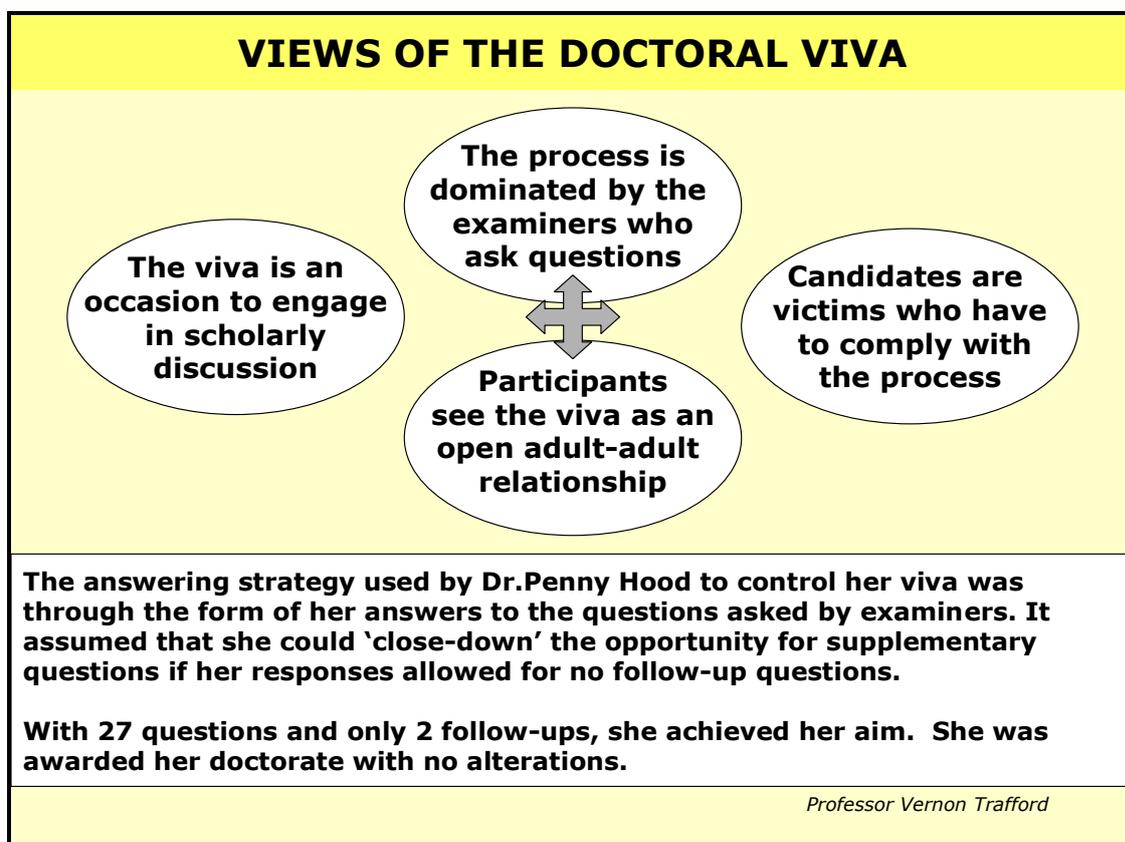
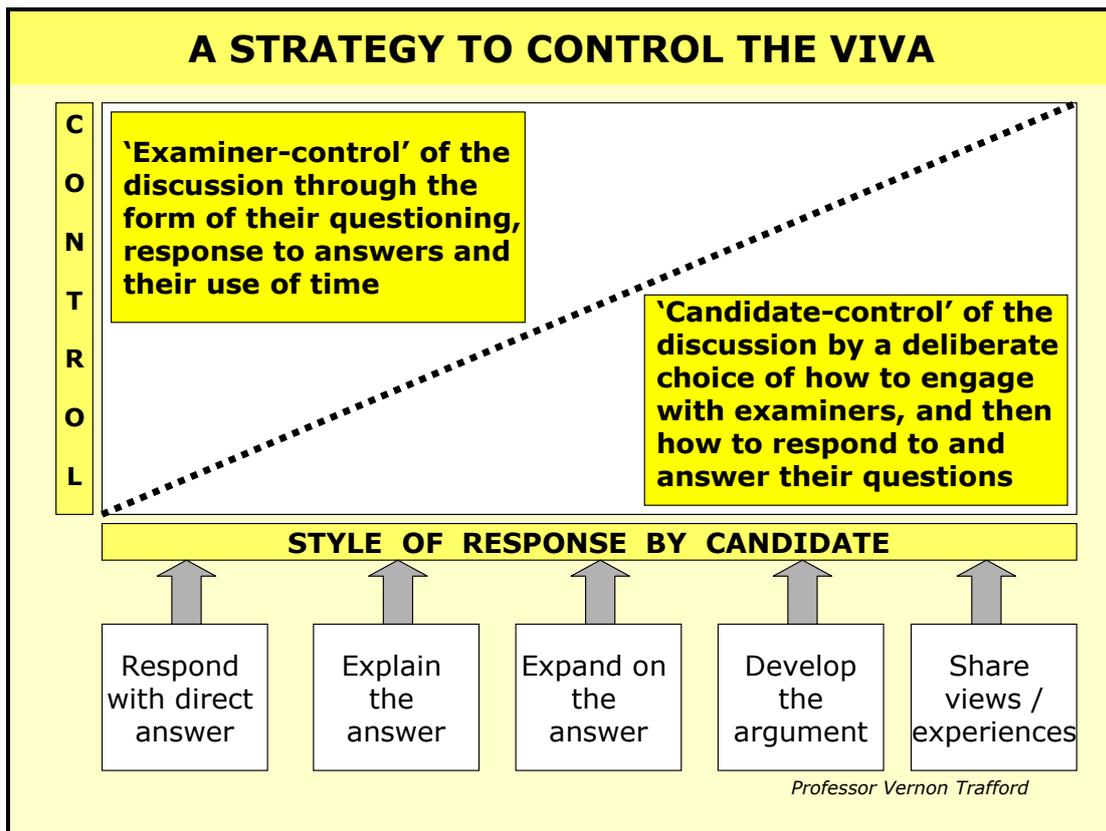
*Professor Vernon Trafford*

### MODEL C: ACCEPTANCE OF SCHOLASTIC EQUALITY



- Acceptance by examiners that the candidate has defended their thesis satisfactorily ~ in the text of the thesis and / or in the viva
- Relaxation of the scholastic gap between examiners and candidate
- Examiners have no 'formal' questions to ask, and so discuss issues
- An elevated discussion with no tension, at a higher level of genuine interest in each other's points of view

*Professor Vernon Trafford*



## POSITIVE TERMS USED BY CANDIDATES

My contribution  
to knowledge is  
due to ....

My research questions  
are answered in my  
chapter of conclusions

My evidence  
shows that .....

The choices that  
faced me were ....

I understand your question,  
but it concerns issues that are  
outside the boundaries of my  
research. Perhaps we could  
discuss it after the viva?

I chose to use  
this because ....

*Professor Vernon Trafford*

## PHRASES TO BE AVOIDED BY CANDIDATES

My contribution  
to knowledge is  
due to ....

I collected  
some  
very good  
evidence.

I think that ....

*Professor Vernon Trafford*

### **13. Re-Examinations**

If you are referred, you may naturally feel very despondent at this point after several years of advanced work. Do not despair. Regard it as a temporary setback. Many candidates have been in a similar position, but have bounced back to triumph successfully. It is important to value what you have achieved already as a research student. Discuss how you feel with your supervisors and friends.

Go over the examiners' final report with your supervisors. Analyse their findings and conclusions carefully. Focus on strategies for putting the thesis right and agree an action plan with your supervisors.

Anglia Ruskin University permits one re-examination, normally by re-submission of the thesis. However, you may be required to have a further viva. Make certain that you check the revised thesis against the examiners' report and take appropriate soundings from other specialists before re-submission.

#### **Review of an Examination Decision**

It is extremely unlikely that as a candidate you will be involved in a review. Nevertheless, if necessary, consult the appropriate sections of the Research Degree Regulations, so that you are familiar with the procedures and can discuss them with your supervisors.

## 14. Preparation for your Viva Voce

**Write an abstract that encompasses these four areas:**

- Why you undertook the research – the background to your work; your research question; i.e. placing your work in context.
- Your approach / methodology
- Your findings / conclusions
- How these findings / conclusions can be applied in context - is your research question answered? The implications of your research for further work.

***Do ensure that within your thesis you have clearly answered your research question or identified the gap in knowledge that you are filling. By carefully defining the boundaries of your research and ensuring that all parts of the thesis relate and answer your research question you should have a structured thesis that is defensible at the viva voce.***

***Thinking ahead to your Viva – some predictable areas / questions for discussion:***

- In a few words please tell us what you have achieved in your research.
- What is your contribution to knowledge?
- Who are the key researchers in your subject area and why?
- State the key papers that provided the underpinning knowledge for your research? Why are these the key papers?
- You have chosen to use ..... approach / experimental technique / methodology – justify your decision.
- What further research is suggested by your work?

**15. Your Action Points**

		DATE/TIME COMPLETED	
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
13			
14			
15			
16			
17			
18			
19			
20			