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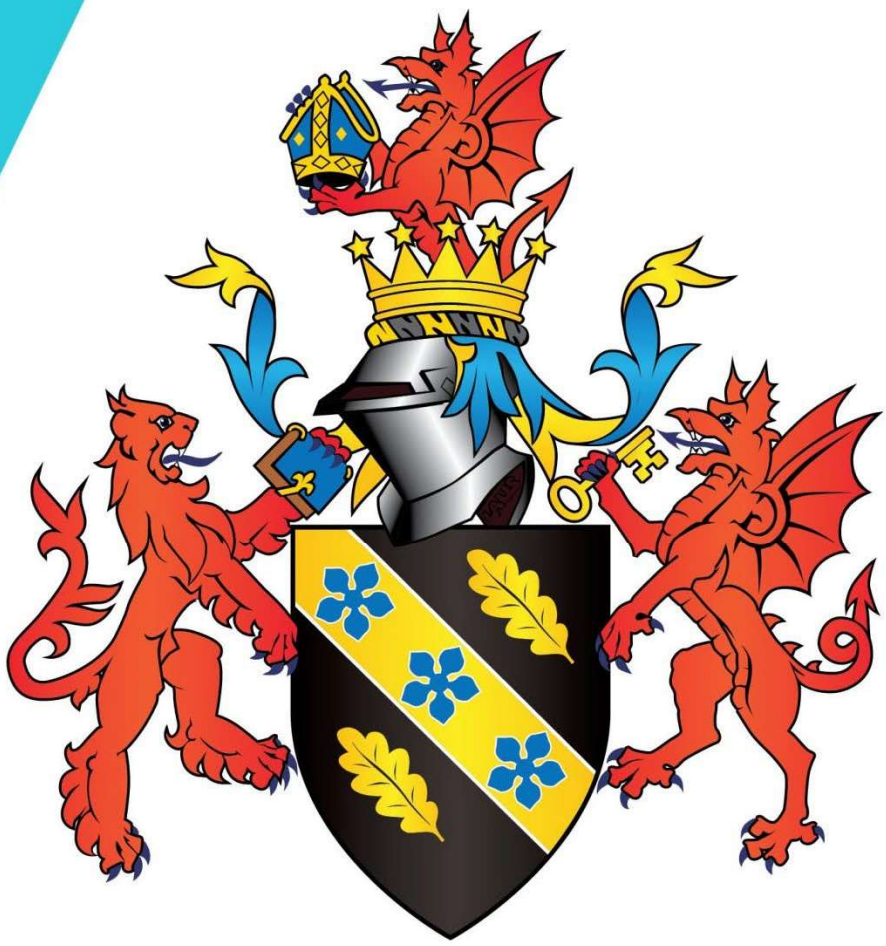
Trinity Saint David



Code of Practice for Research Degrees

2022/23

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ADMISSIONS

The University's Admission Policy is adhered to in all cases and without exception.

Applications for admission to Professional Doctorates and MRes programmes are co-ordinated through the Registry with admission decisions to those programmes of study reported to Doctoral College Board.

An application must be made through the University's application portal for research degrees.

To be admitted onto a research programme an interview (either face-to-face or by electronic means) must, wherever possible, be conducted. This will involve at least one member of staff of the Institute or collaborative partner institution, who must have had appropriate training in selection and admissions procedures.

Research degree applicants are expected to submit the names of two referees as part of the formal application process. These referees should normally be an individual from an organisation at which the applicant has studied or at which the applicant was or is employed. Referees should normally be able to comment on the students' work. The referees must not be a relative or personal friend of the applicant. If the referees are from an institution at which the applicant has studied, then they must be academics who have assess ed the student as part of the qualification that is being used to gain entry. If the referees are from an institution at which the applicant has been or currently is employed, then they must have had line management responsibility for the applicant.

Consideration of formal application

An admission decision form must be completed for each applicant. Additional processes will be followed for any international applicants who will be studying on a Tier 4 visa.

Consideration of the application should normally include at minimum:

- the availability of a suitable supervisory team;
- the applicant's academic suitability to complete the proposed research project;
- assessment of the suitability, feasibility and viability of the proposed research project;
- consideration of any resources that may be required for the project and their availability within the Institution and to the applicant;
- consideration of the proposed research project in light of the University's Research and Innovation Strategy;
- are there any intellectual property requirements that need to be completed prior to the commencement of the research;
- the identification of any training needs and how those training needs will be met, including costs;
- the applicant's interview;
- is a disbarring and disclosure check (DBS or enhanced DBS) required;
- whether the applicant (for applicants whose first language is not English or Welsh) has the required proficiency in English or Welsh. For English this is normally evidenced by a minimum IELTS score (or equivalent) of 6.5 overall (to include a minimum score of 6.5 in both reading and writing); and
- whether appropriate contingencies could be made if resources should become unavailable.

All admissions to the degrees of PhD, MPhil, MA by Research / MSc by Research, and PhD by Published Works are reported to the Doctoral College Board.

Allocation of supervisory team

The allocation of the supervisory team is the responsibility of the Institute who must ensure that all supervisors are recorded on the University's Directory of Research Supervisors prior to the approval of any supervisory team. All supervisors are subject to limits on the number of supervisees (set out below), and this may restrict their availability to join new supervisory teams.

Timeline

There are three entry points for the degrees of PhD, MPhil, MA by Research / MSc by Research, and PhD by Published Works:

- 1 October
- 1 February
- 1 June

In order to guarantee a specific entry points, application must be received at least 3 months before the relevant entry point.

The timeline for the communication of decisions on applications is set out in the University's Admissions Policy.

General Entry Requirements

In addition to the normal minimum entry requirements for each degree, set out in the Academic Quality Handbook Chapter 8, all applicants must be capable of satisfying the relevant academic authorities with regard to their proficiency in Welsh or English at a level necessary to complete the programme of work in the chosen language and to prepare to defend a thesis in that language. Proficiency in English for students whose first language is not English is normally evidenced by a minimum IELTS score (or equivalent) of 6.5 overall (to include a minimum score of 6.5 in both reading and writing).

Normally students may not be concurrently enrolled on another award bearing programme in this or any other university/institution.

Any conditions set in the offer, must be met prior to enrolment. If the conditions are not met, their enrolment may be deferred to the next enrolment period.

Applicants who do not possess the normal minimum entrance requirements may be considered for admission as non-standard applicants.

Non-standard Applicants

Where applicants do not meet the normal minimum entry requirements for each degree and the general entry requirements, the University has the responsibility to ensure that they can demonstrate equivalent academic ability. For example, that they have acquired the requisite skills, knowledge and training from their professional work.

As part of the admission procedures for such non-standard admissions, the features of the applicant's professional work that evidence the acquisition of the skills are highlighted. For example, their professional occupation may use the academic skills developed during an undergraduate degree in a way that develops independent critical assessment of evidence, or formulation of plans, or use of methodologies which would have extended their undergraduate achievements. Clearly, applicants working in non-graduate positions will not normally be able to satisfy this requirement.

Transfer in from another institution

Applicants may transfer in from another institution by submitting an application for admission in the normal way. At least one referee must normally be a member of the current student's supervisory team or supervising research at the institution they are transferring from. Those transferring in from another institution may have some of the period of study at the other institution recognised and the period of study will be adjusted accordingly. Irrespective of any prior period of study, those who transfer in from another institution will be required to complete at least one year (I.e. full-time equivalent) of supervised research as the usual period of study and will be liable for fees accordingly. The University will normally seek written confirmation from the original institution in relation to the suitability of the applicant and the appropriateness of the transfer. It will normally be required that the accepted applicants submit an Application for Ethical Approval, regardless of any prior ethical approval granted by the previous institution. Students may not be registered for a programme at two Institutions at the same time.

Transfer out to another institution

Before considering a transfer to another institution it is important that a student discusses this with the Director of Studies and/or other relevant members of staff in the Institute or collaborative partner institution, so that possible alternatives can be

considered before a final decision is made. International students are strongly encouraged to consult the Wales Global Academy before making a final decision, as this may have implications with regards to immigration status. Students are prohibited from transferring candidature to another institution after the usual period of study has been completed.

In order to transfer to another institution (including those transferring to UWTSD), students are first required to withdraw from their University. However, students are advised not to withdraw until a firm offer has been made by the new institution. Students should contact the destination institution and find out whether any period of study at the University will be counted towards the candidature period at the new institution. The destination institutions may request an academic reference and formal permission from the University to permit the transfer of candidature. Students should make sure that any Intellectual Property Rights issues are clarified before transferring to another institution.

Collaborative Research Projects

Where a thesis will contain a collaborative research element, all relevant arrangements, including, for example, the process for ethical approval, format of the thesis and viva arrangements, must be approved at admission stage, before enrolment.

Research Environment

During the consultation process with applicants prior to entry, Institutes and collaborative partner institutions must ensure that there is adequate expertise available to provide supervisory support for the topic to be pursued within a research-active environment. Institutes and collaborative partner institutions must also ensure that appropriate training is available to support the student's specialist needs. As a result, the University may limit the intake of students within a particular programme as appropriate.

To promote a healthy environment care should be taken to ensure that potential research students are not isolated within their own project. This will include ensuring that they have contact with other researchers both from within and outside the University or collaborative partner institution so that they can share experiences and form networks. The Doctoral College will help to support this aspect of the research environment.

Both the Institutes or collaborative institution partners and the Doctoral College should ensure :

- opportunities to link with the wider professional community through, for example conference and seminar attendance;
- ready access to academic colleagues for advice and support;
- availability of adequate learning and research tools;
- availability of adequate learning space;
- the opportunity to develop peer support networks where issues or problems can be discussed informally;
- guidance on research ethics and good practice;
- an emphasis on the need to complete the research programme within the expected period of study;
- opportunities to explore impact and knowledge transfer pathways for their research;
- opportunities to explore career options, both within and outside of academia.

Participation in the University and Institutes researcher development events is encouraged in this regard.

METHODS, MODES, AND PERIODS OF STUDY

Study can be completed either on full-time or part-time basis, and either as a residential or distance student.

The University permits one of four methods of study for research degrees:

- Full-Time Residential
- Part-Time Residential
- Full-Time Distance Learning
- Part-Time Distance Learning

Full-time students are expected to spend a minimum of 35 hours a week on research and study during the period of supervised study for the degree. Full-time students should not normally be in full-time employment.

Part-time students are expected to spend approximately 17.5 hours a week on research and study during the period of supervised study for the degree.

All full-time residential students should live within easy commuting distance of the relevant University campus or collaborative partner institution. Full-time students for whom the University acts as student visa sponsor must be resident in the United Kingdom and live within easy commuting distance of the relevant University campus for the total duration of candidature.

Normally, "easy commuting distance" is taken to mean that a student should not have to undertake a journey in excess of two hours to attend the relevant University campus or collaborative partner institution. Part-time residential students are not required to live within easy commuting distance of the relevant University campus or collaborative partner institution, but where the distance to place of residence is considered excessive, such students should normally be reclassified as part-time distance learning students.

Full-time residential students may be permitted to spend a period of time away from the relevant University campus or collaborative partner institution on research-related activities. Requests to undertake research-related activities away from the relevant University campus or collaborative partner institution should be approved by the student's supervisory team. For students for whom the University acts as student visa sponsor, regulations related to their visa conditions will apply.

Normally the maximum period of time that a student may spend away from the relevant University campus or collaborative partner institution for any award is 12 months for a full-time student and 24 months for a part-time student.

In order to study as a distance learning student, the University must seek assurances that the student will be able to access appropriate facilities and resources and will be able to attend the minimum required three formal meetings with the supervisory team either in person or via video-conference or by telephone.

Research students study over the full calendar year. Full-time students are entitled to take up to four weeks' holiday per annum in addition to Public Holidays and periods when the University is closed. Part-time students are entitled to take up to four weeks' holiday per annum pro-rata in addition to Public Holidays and periods when the University is closed.

Periods of Study

Each research degree has a normal period of supervised study – the usual period of study – at the end of which a student is expected to submit their thesis. There is also a maximum submission date after which a student will be deemed to have run out of time and will not be permitted to submit a thesis and will be withdrawn from the programme.

Submission before the end of the usual period of study will only be allowed in exceptional circumstances, with Director of Studies approval, and only if all required fees have been paid.

The required periods of study for students pursuing research degrees are given below with reference to the modes of study. These periods of study are applicable to any student who first enrolled from October 2016 onwards. For students first enrolled prior to October 2016, the periods of study are those as defined in the relevant section of the Academic Quality Handbook current at the time of initial enrolment and as stated in the formal Offer Letter.

PhD

Mode of study	Usual Period of Study (Fee period)	Maximum submission (including writing up period)
Full-time	3 years	4 years
Part-time	6 years	8 years

MPhil

Mode of study	Usual Period of Study (Fee period)Usual period	Maximum submission (including writing up period)
Full-time	2 years	3 years
Part-time	4 years	6 years

MA by Research / MSc by Research

Mode of study	Usual Period of Study (Fee period)Usual period	Maximum submission (including writing up period)
Full-time	1 year	2 years
Part-time	2 years	4 years

Professional Doctorates

Mode of study	Usual Period of Study (Fee period)Usual period	Maximum submission (including writing up period)
Full-time	3 years	4 years
Part-time	6 years	8 years

Master by Research (MRes)

Mode of study	Usual Period of Study (Fee period)	Maximum submission
Full-time	2 years	2 years
Part-time	4 years	4 years

PhD by Published Work

Mode of study	Usual Period of Study (Fee period)Usual period	Maximum submission
Full-time	1 year	1 year
Part-time	2 years	2 years

During the usual period of study the student will be liable for fees at the appropriate level based on the type of research degree and the method and mode of study.

The usual period of study does not include periods when study has been interrupted.

CRITERIA FOR APPOINTING A SUPERVISORY TEAM

Supervisory Team

Every student studying for a PhD by Research, an MPhil by Research, Part Two of a Professional Doctorate, and a PhD by Published Works will have a supervisory team of no fewer than two supervisors approved by RDC.

As a minimum each supervisory team will consist of a Director of Studies and at least one other supervisor. In addition to these individuals, a supervisory team may be supplemented by advisers (individuals with relevant specialist expertise) as appropriate.

Every student studying for an MA by Research / MSc by Research and Part Two of a Master by Research (MRes) will have one supervisor approved by RDC.

Normally supervisors should be members of academic staff who are expected to remain in employment at the University or collaborative partnership institution for at least the usual period of study for which students are being enrolled. All supervisors must be listed on the University's Directory of Directors of Studies and Supervisors.

Individuals with specialist expertise relevant to the research project who are not listed on the University's Directory of Directors of Studies and Supervisors may be exceptionally approved as supervisors by RDC but not added to the appropriate central directory. Further, individuals with relevant specialist expertise may be appointed as advisers and members of staff from the University may be appointed as advisers for students at collaborative partner institutions to provide additional oversight. All advisers must be approved by RDC and must be added to the appropriate central Directory.

Specific Criteria for Appointing a Supervisory Team

In order to be appointed to a particular supervisory team, an individual must be listed on the University's Directory of Supervisors and Examiners as a recognised supervisor or approved specifically by RDC. In order to be added to the directory, potential supervisors should apply to the post of level 2. Those within level 2 will need to meet the above criteria to be considered.

All supervisors within a supervisory team should hold a contract of employment as a member of staff of the University or collaborative partnership institution which outlives the usual period of study for the student to be supervised.

Within a supervisory team, at least one member of the team must have experience of supervising from enrolment to successful completion of research degrees at or above the level of the student to be supervised (Level 3). Where no eligible supervisors are available, an additional adviser must be appointed to the supervisory team.

At least one member of the overall supervisory team for a PhD by Published Works student must have experience in the supervision or examination of the PhD by Published Works. Where no eligible supervisors are available, an additional Adviser must be appointed to the team for the duration of the student's enrolment.

For individuals who are undertaking their first appointment as a supervisor with the University, another member of the supervisory team on which they serve or another experienced member of staff must be assigned formally as their mentor for developing supervisory skills. The Academic Office will be able to advise in relation to possible mentors. New supervisors must meet with their mentor at least once per term formally to discuss progress and any issues.

Doctoral Supervision:

All students should have a minimum of 2 supervisors (Director of Studies, Supervisor)

Should this team not meet all of the requirements for supervisory team, then an advisor can be appointed to fill the specific gap in supervisory requirements (e.g. supervision to completion, experience with PhD by publication, etc.)

Supervisors must either be employed:

- by the University on a contract of employment that outlives the usual period of study for the student to be supervised.

- be engaged as a member of one of the University's recognised supervisory pools.

MRes/MScRes/MA/Sc by Research Supervision:

All students should have a minimum of 1 supervisor (Director of Studies)

Should this team not meet all of the requirements for supervisory team, then an advisor can be appointed to fill the specific gap in supervisory requirements (e.g. supervision to completion)

Supervisors must either be employed:

- by the University on a contract of employment that outlives the usual period of study for the student to be supervised.

- be engaged as a member of one of the University's recognised supervisory pools.

Director of Studies

One of the supervisors will act as Director of Studies, with primary responsibility for supporting the student on a pastoral level and for the administrative oversight of the supervision and the supervisory team. The Director of Studies is responsible for guiding the student in administrative matters and for ensuring that the student's progress is appropriately reported through the formal progress monitoring processes. In a supervisory team, the supervisor who is not identified as Director of Studies will assume secondary administrative/pastoral responsibility.

In addition, to be considered for role of director of studies the individual must meet the level 2 requirements to qualify for the role. The usual expectation is that they are on a substantive post within the University. The individual must attend relevant training events to ensure they are familiar with the quality framework, requirements and processes of the University especially where new regulations and requirements are introduced.

Responsibilities of Director of Studies

The Director of Studies will be the student's main academic contact throughout the student's research journey and will have overall responsibility for the student's academic supervision. The Director of Studies additionally has a pastoral role and the responsibility for providing advice and assistance with the necessary administrative processes as and where necessary, e.g. as regards progression, change of mode of study, interruption of studies, extension of the maximum time limit. In addition to their responsibilities as a supervisor, the Director of Studies is also responsible for ensuring that:

- the student is provided with pastoral support as and where necessary and/or referred to other sources of support, e.g. Academic Office, Student Services;

- the training needs of the student are identified at commencement and during the programme of research;

- a full research proposal is submitted to RDC for approval within the relevant timescales;

- an application for ethical approval is submitted to the Research Ethics Committee following approval in principle of the full research proposal;

- a minimum of three meetings are held each year and attended by appropriate members of the supervisory team;

- the discussion and action points arising from each formal meeting are summarised in a formal written record which is submitted alongside the formal progression report;

- formal progression reports are completed as required in a timely fashion;

- the student is aware of the University's regulations for research degrees as well as regulations and policies on academic misconduct, intellectual property, health and safety, and any ethical issues which may arise during the course of a student's research;

- advice and assistance are provided on the necessary administrative processes as and where necessary, e.g. in the event

of seeking an interruption of studies, change of mode study, extension of maximum time limit for submission;

- the student is given detailed advice on the expected milestones and dates for successive stages of research. This should include but not be limited to giving information on what criteria must be met in order to progress satisfactorily, upgrade to a higher level research degree, and the dates which these must be achieved by.

Supervisors

The University recognises that supervision practice may vary between subjects and disciplines and that where a supervisory team is used, the academic input of the other supervisor will vary from case to case. These supervisors should meet with students as required, and attend appropriate formal supervision meetings.

Responsibilities of supervisors

Supervisors are responsible for ensuring that they adhere fully to the University's regulations for research degrees and in particular that they:

- offer regular supervision. The frequency of supervision will vary during the duration of the research;
- are accessible, within reason (e.g. by e-mail contact) outside planned supervision meetings when advice may be required;
- provide guidance on the nature and requirements of the research degree being pursued and standards expected;
- provide guidance and advice to ensure the research can be completed, including the preparation of the thesis, normally by the end of the usual period of study;
- assist students in producing a detailed work-plan and timetable for research and monitor progress in relation to this plan;
- encourage and support students to participate in the UWTSD Researcher Development Programme;
- complete relevant sections of progression reports as required in a timely fashion;
- ensure the student is given sufficient warning at the earliest stage where progress is inadequate or of an unsatisfactory standard;
- request written work as appropriate and in accordance with the agreed work-plan and return such work with constructive feedback within an agreed period of time;
- provide guidance and advice on the writing up of the thesis, including reading and giving commentary upon the thesis during the period of composition;
- provide assistance in preparing for the oral examination and explain its role in the overall examination process;
- provide appropriate supervision in the event of any re-submission;
- maintain the necessary supervisory expertise, including accessing relevant professional development opportunities in order to effectively perform in the role of supervisor;
- provide advice on how to network within the specialist field and opportunities to achieve this. This may include advice on which learned societies to join and which conferences to attend;
- provide advice on how and where to present work, e.g. in seminars within the Institute and University and/or at external meetings/conferences;
- give advice on how and where to publish, if appropriate

Adviser

Advisers may form part of the supervisory team for a defined period of time or for the duration of the student's enrolment. Advisors may not take the role of Director of Studies and will have no formal responsibility for administrative processes or progress monitoring. Advisers will meet with students as required and should attend appropriate formal meetings which are held during their appointment. All advisers must apply and be approved by RDC and to be added to the appropriate central Directory. The Institute is responsible for arranging and maintaining appropriate contracts with Human Resources following the approval of external Advisers through RDC. Advisors should be appointed to the Directory of Supervisors and Examiners at level 1.

Supervisory Load

The University supervisory workload for any individual supervisor should not exceed a total of ten full-time equivalent students. Within this overall limit, an individual supervisor should not act as Director of Studies for more than eight full-time equivalent students at PhD, MPhil, Professional Doctorate level and should not exceed a total of fifteen full-time equivalent students at MRes (Part II), MA by Research or MSc by Research level. However, in specific cases RDC will consider requests from a Institute or collaborative partner institution for these limits to be increased for individual supervisors, for example for research intensive staff and especially where research supervision is the exclusive role of the post holder or where the member of staff's activity profile is adjusted accordingly.

Doctoral Supervision (PhD, MPhil, Professional Doctorate)	MRes	Total Supervisory Capacity
Maximum of 8 FTE candidates	Maximum of 15 FTE (MRes weighting for total calculation is ½ of Doctoral weighting)	10 FTE (no more than 8 FTE as Director of Studies)

For pool supervisors, where they are employed at another institution, the usual expectation will be no more than 6 FTE for doctoral supervision.

For individuals who are undertaking their first appointment as a supervisor with the University, another member of the supervisory team on which they serve or another experienced member of staff must be assigned formally as their mentor for developing supervisory skills. The Doctoral College will be able to advise in relation to possible mentors. New supervisors must meet with their mentor at least once per term formally to discuss progress and any issues.

Supervision Entitlement

The normal expectation is that:

- Full-time students would meet with one or more of their supervisory team at least ten times per academic year.
- Part-students would meet with one or more of their supervisory team at least five times per academic year.
- These meetings must be documented.

A record of three of these meetings must be included as part of the progress review process.

If a supervisory team is not in place for a student for a period of at least three months, then the student's progress will be considered as "cause for concern" at the next appropriate Progress Review Board. The University will also consider appropriate remedies to support the student.

Replacement of Supervisor

Where an Institute finds it necessary to replace a supervisor who is a member of University staff it must first ensure that it has

considered all appropriate and reasonable internal institutional options for ensuring that the supervisory team contains the necessary expertise before looking further afield. Where an external supervisor has been appointed because of their particular expertise or perspective (e.g. industry-based), it would normally be appropriate to replace such a supervisor with an equivalent appointment, where this is reasonably possible.

Where an student finds they are unable to continue to work with a supervisor, they must make an application in writing to their IMORD requesting a change to their supervisory team specifying the reasons for the request. Normally, this should be discussed with the supervisor beforehand. If their supervisor is their IMORD, then they should write to the Academic Director of the Doctoral College. Any new supervisory team must be approved by RDC.

Access to Resources

On the departure of a member of the supervisory team, Institutes should also give consideration as to whether this would affect the student's access to resources where, for example, resources had been provided at the University by a research grant which have moved with the supervisor. This need only be a consideration were the resources were an intrinsic requirement for the student's studies, and which had been specified as such at the beginning of their programme. If the Institute cannot provide these resources directly this may also involve reasonable endeavours to provide these resources from an alternative source.

Making Alternative Arrangements

If it is necessary for alternative provision to be made, responsibility would sit with the Deputy Vice-Chancellor and Dean of the Institute to determine the arrangements. The student will be consulted on the proposed arrangements to be made but responsibility for them must remain with the University (exercised through the Institute) and cannot be delegated to the student concerned. Where the proposed arrangements would entail a change to the registration of the student this must be discussed with the student at an early stage in the process and approval of the student must be sought before the arrangements are finalised.

Transfer to another Institution

Where there are no reasonable alternative arrangements, the Institute will take reasonable steps to look for a place for the student at another eligible institution and to take reasonable steps to negotiate a transfer.

Usual period of Study or Post-Submission

Changes to supervision once a student has reached the end of the usual period of study or has submitted their thesis should only be made in exceptional circumstances and approved by the Deputy Vice-Chancellor (Academic).

Where it is not possible to provide supervision

There may still be some circumstances, despite the University's reasonable endeavours, where it is no longer possible to identify appropriate supervision for a student. Where this is the case, the Deputy Vice-Chancellor and Dean of Institute must consult with the Institute Director of Research Degrees before making the student aware, as soon as possible that this is the case, and of any further options open to them.

Supervisory Pool

Criteria for appointment

Pool supervisors must go through a recruitment process, and meet the requirements for inclusion on the Directory of Supervisors (except holding a substantive contract of employment with the University or collaborative partnership institution), including identification of their level.

They are then considered the same as all University supervisors and must meet the same requirements to be appointed to an individual's supervisory team.

Management of Supervisory Pool

Institutes or collaborative partner institutions may present a formal requests to Doctoral College for the appointment of pool supervisors. The formal request should present a strategic case including Institute capacity, expected student numbers and

expectations in relation to progression and completion rates. The Doctoral College Board may also work with Institutes to identify where a supervisory pool may be necessary to supplement existing supervisory capacity.

The Doctoral College will work with the relevant Institute and HR to determine the appropriate recruitment, induction, and support mechanisms for all pool supervisors.

Individual Pool Supervisors are appointed to the general pool and not affiliated with any particular Institute.

Criteria for University Directory of Supervisors and Examiners

Institutes or collaborative partner institutions may submit to RDC the names of proposed supervisors for inclusion in the Directory of Supervisors and Examiners. An individual who has been approved as a part of the Directory must attend workshops for newly appointed supervisors within 12 months of being approved. Failure to attend such workshops will result in the individual being removed from the Directory. Experienced supervisors should attend training events to maintain and enhance their skills and to ensure they are familiar with the quality framework, requirements and processes of the University especially where new regulations and requirements are introduced.

The University periodically audits the Directory of Supervisors and Examiners to ensure that all members meet the relevant criteria for the level at which they are appointment. To be considered for the role of supervisor, internal examiner, chair of transfer panel or probation period panel or for director of studies, individuals must apply and be approved for the role. To do this they must meet the criteria for each level of role.

Level 1 (Advisor)

To be considered for level one individuals should have specialist knowledge about a specific aspect of the project that cannot be otherwise met by the members of the supervisory team.

Level 2 (Advisor, Supervisor, Director of Studies, Examiner)

In order to qualify for level 2, an individual must be an academic member of staff and a substantive employee of the University or collaborative partner institution (normally holding a contract equivalent to at least 0.4 of a full-time post) or employed as a Postgraduate Research Supervisor. In addition, an individual must be able to demonstrate that they fulfil at least two of the following requirements:

- possession of a higher degree by research at equivalent level;
- have clear research competence and recent research expertise, demonstrated through peer-reviewed publications, regular conference attendance, or research grant income in the past five years;
- experience of involvement in the successful supervision of a research degree student to completion in the past five years;
- demonstration of national standing in an area relevant to the proposed research programme (e.g. keynote speaker at professional conference, election to senior position in national organisation, national award, appointment to national consultancy role such as membership of government committee) in the past five years.

An individual who is currently a student for a research degree at the University or any other Higher Education institution is not eligible to act as a supervisor, even where all other criteria are met. Where such an individual has been previously approved for the Directory of Supervisors and Examiners, that individual must be withdrawn from the Directory until the individual has completed the research degree.

Level 3 (Advisor, Supervisor, Director of Studies, Examiner, and Chair of Probation Panel)

To be considered for level 3, they must first satisfy the above criteria for level 2 as well as having experience in the roles within those levels. Additionally, they must meet the following criterion:

experience of involvement in the successful supervision of a research degree to completion in an area relevant to the proposed research programme at or above the level at which the individual to be supervised will study in the past five years.

Level 4 (Advisor, Supervisor, Director of Studies, Examiner, and Chair of Examining Board/Probation Panel)

To be considered for level 4, they must first satisfy the above criteria for level 3 as well as having experience in the roles within

those levels. Additionally, they must meet one of the following criteria:

- experience of examining of a research degree at or above the level at which the individual to be will be examined;
- experience of chairing a probation panel.

RESEARCH DEGREE MILESTONES

Enrolment on or Transfer onto a Research Degree

Every new research degree student must complete the enrolment process. Upon enrolment the student will become responsible for the payment of fees.

For those enrolled on a programme with a Taught Part I, upon the successful completion of the Part I (as confirmed by the appropriate examination board), students will be transferred to Part II where students must re-enrol.

For those transferring to Part II, Institutes must nominate a supervisory team on the Nomination of Supervisory Part II form (PG3). Supervisory teams are approved by the Institute Manager for Research Degrees. The approved supervisory team will be noted at the next meeting of the Research Degrees Committee. Supervisory teams for students transferring to Part II must normally be appointed within one month of progressing to Part II.

For all other research students, a supervisory team is appointed at admission.

All research students must, to maintain enrolment, pay all applicable fees and pursue an approved research project for the usual period required for your mode of study.

All research students must re-enrol on an annual basis. Students who do not re-enrol will normally be withdrawn. To support students, the University will attempt to contact students who have not enrolled up to three times in order to remind them to do so. If following the third contact attempt, the student does not respond, the University will withdraw the student from the programme.

Induction

All students are expected to attend, either in person or online, an induction programme as soon as possible after admission or transfer to Part II.

The induction programme aims to provide information and training as well as introduce the research degree processes. This will normally be completed by your Institute or collaborative partner institution and the Doctoral College.

The induction programme will normally provide information on:

- facilities available to students;
- administrative support available to students;
- rules about the use of facilities, good practice, and, where appropriate, training required for special equipment;
- rules about data management and protection, where appropriate;
- Health and Safety requirements;
- Intellectual Property Policy issues;
- the research ethics application and approval processes and requirements as well as an introduction to the research integrity policy;
- requirements for students to attend and give research seminars and undertake other research training through the University's Researcher Development Programme;
- research skills training information;
- opportunities for students to attend conferences and meetings;
- supervisory and review arrangements and available support;
- the required milestones to complete the programme of study.

As part of the University's alignment to the Researcher Development Framework, you should participate in the University's Researcher Development Programme and Institute research events. Some sponsors may require students to participate in these or similar programmes as a condition of sponsorship, these should be identified at admission stage.

Expectations as a Postgraduate Research Students

Postgraduate research students are responsible for ensuring that they:

- enrol with the University on the anniversary of your initial enrolment;
- pay all required fees to the University;
- have regular contact with their supervisory team as per monitoring policy and attend all scheduled formal and informal meetings;
- ensure that a final version of the thesis is submitted by the maximum submission date;
- follow the requirements for submission of the thesis, especially the requirement for referencing according to a consistent and recognised standard.
- make the supervisory team aware of any specific needs or circumstances likely to affect your work;
- familiarise themselves with the University regulations and guidelines, processes and procedures for research degrees;
- complete all necessary forms used by the University to monitor progress and performance;
- take ownership of their research plan and undertake wider skills training;
- attend the research seminars and training events provided by the University's Researcher Development Programme (RDP), as well as any training offered by Institute or collaborative partner institutions whether in person or, for distance learning students, electronically;
- attend any lectures/seminars/workshops that are part of Part One of an MRes or Professional Doctorate programme;

Work as full-time student

Students should consider how any paid, unpaid, voluntary, or charitable work may have on the timely completion of their studies. It is strongly recommended that full-time students undertake no more than ten hours of paid or unpaid work during the normal working week.

Where students undertake placements that are embedded and assessed as part of their Professional Doctorate programme the conditions governing the placement, including any remuneration, should be clearly specified and agreed in writing and in advance by the student, the University, and the placement provider.

The University recognises that engaging in additional academic or other work may be helpful to the career development of students, but emphases the importance that this does not interfere with the progress of their research.

International students must also ensure that they meet any requirements stipulated by their visa. Where students are sponsored by research councils or other sponsors, they must comply at all times with any stipulations with regard to employment as laid down by such sponsors.

If full-time students should decide to work for more than the recommended ten hours per week, academic progress will be very closely monitored and, if progress is unsatisfactory in any way, the student may be required to reduce the number of hours worked or, where permitted by status or visa conditions, to change study mode and study part-time for their degree. Full-time students who ignore the University's guidance and work for more than ten hours per week will not normally be permitted to request an extension to the maximum time limit for completing their degree on these grounds.

Graduate Teaching Assistantships

Institutes may employ Graduate Teaching Assistants in order to provide their students with a valuable opportunity to gain teaching skills. When considering offering this opportunity, they need to ensure the following:

- that all graduate teaching assistants have completed or are enrolled on the University's programme for graduate teaching assistants;
- that an appropriate selection procedure is followed and that a contract is set up with the Human Resources Department.
- Graduate Teaching Assistants must complete the University's GTA training programme

The University may also allow Research Degree Students to teach/lecture/mark/demonstrate on individual modules on an ad-hoc basis. These students should complete the "Teaching at UWTSD" programme.

FIRST YEAR MILESTONES

Full-Time Student Requirements and Deadlines from commencement:

- Full Research Proposal: 3 Months
- Ethics Approval: 6 months
- Progress Review: 12 Months

Part-Time Student Requirements and Deadlines from commencement:

- Full Research Proposal: 6 Months
- Ethics Approval: 12 months
- Progress Review: 12 Months

Full Research Proposal

The University requires that all students complete a Full Research Proposal and submit it for approval to their supervisory team, Institute Research Committee and RDC within the appropriate time frame for their mode of study.

The Full Research Proposal asks students to more fully develop their proposal and outline their proposed methodology and the timescales for the completion of their research project. It is an important milestone in helping ensure that students are on track and developing their research.

RDC may approve research degree projects in principle or may withhold approval on academic grounds including inadequate or inappropriate research methodology or facilities. If approval is withheld, an amended proposal should be re-submitted within 4 weeks. Where approval is withheld for a re-submitted proposal, RDC may determine that it is appropriate to terminate studies. Students may appeal against a decision to terminate their studies in accordance with the Academic Appeal Policy.

After a research project has received approval in principle, a student must apply for ethical approval.

Ethical Approval

Only after the Full Research Proposal has been approved by RDC, the student must complete and submit an Application for Ethical Approval Form to the Research Ethics Committee no more than 6 months after commencement for full-time students and no more than 12 months after commencement for part-time students.

There is a separate guide to the Ethics Approval Process which can be found here: Procedures for the Ethical Approval of Research Projects | UWTSD

The Research Ethics Committee may give full ethical approval or may withhold approval pending clarification of any points raised. If approval is withheld, an amended proposal should be re-submitted as soon as possible. Research activity in areas which require ethical approval should not commence until after written approval has been received from the Research Ethics Committee. However, a student may commence other aspects of the research while awaiting formal approval.

Progress Review

All research degree students will have a progress review starting in their first year of study. This is to ensure that they remain on track to complete their project. After the first year, progress review is at least an annual process but may occur more often. The progress review process is explained in the Progress Monitoring Guide.

Progress Monitoring

The University through RDC monitors the progress of all research degree students on at least an annual basis.

Students should meet regularly with members of the supervisory team and must attend a minimum of **three formal** meetings every twelve months: **one** with all members of the supervisory team (including any current advisers) and **two** with at least two members of their supervisory team. A record of each formal meeting should be made on the Record of Formal Meeting Form (PG4) which is completed jointly by the student and the supervisory team.

The University requires that each supervisory team submits a progress report to the appropriate Progress Review Boards at least annually.

Each Progress Report must contain an assessment of the student's engagement with and progress on their research project, their contact with their supervisory team, their likelihood of completing within the permissible timeframe, and if they have met the appropriate research milestones.

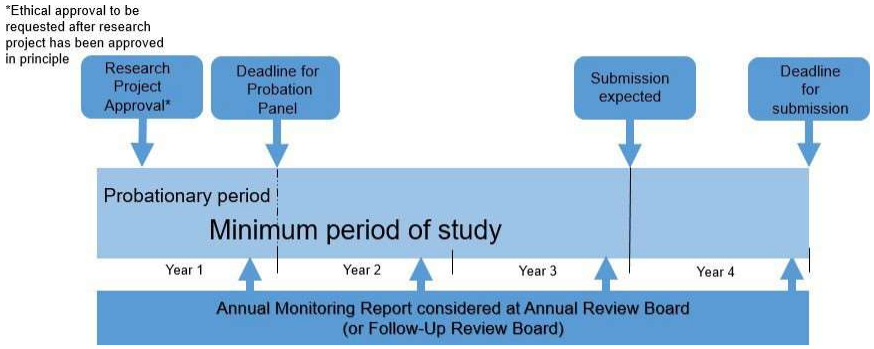
All students will be asked to respond to the report from the supervisory team.

The Progress Review Board will determine on the basis of the report, if progress on the project is deemed "**satisfactory**", "**cause for concern**" or "**unsatisfactory**".

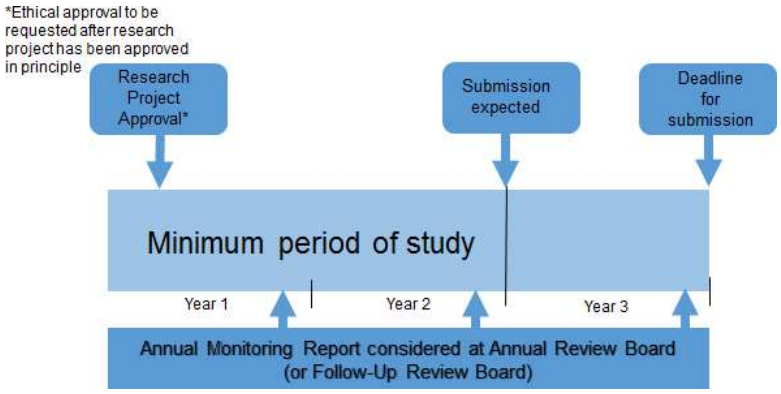
Where progress is deemed "**cause for concern**" or "**unsatisfactory**" a further review will normally be required by the next Progress Review Board.

The formal stages at which a student's progress is assessed are outlined below for the different research degrees (note: for part-time students timescales are doubled):

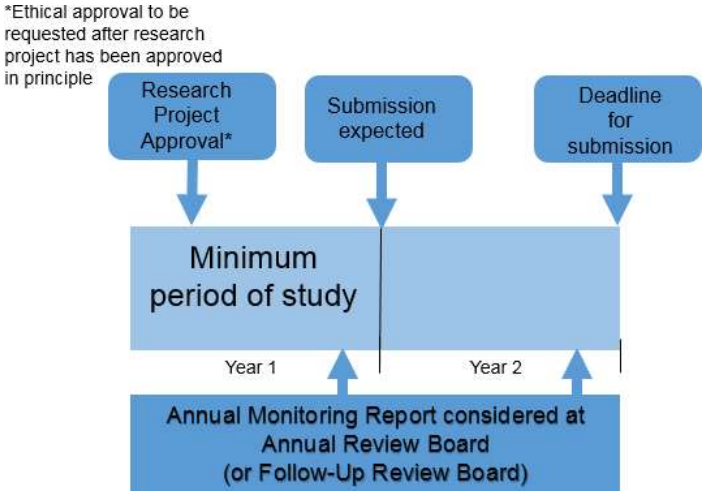
Full-time PhD



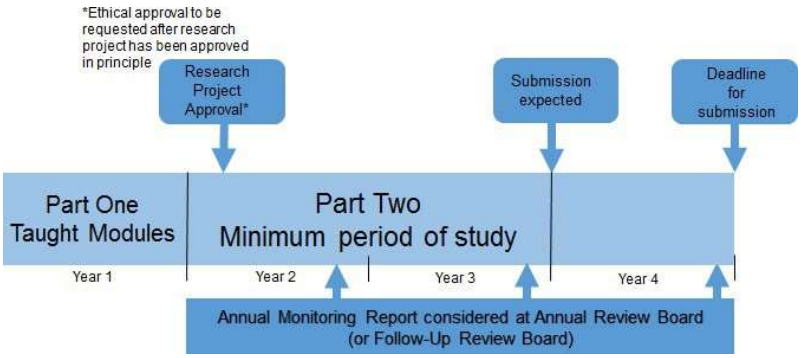
Full-time MPhil



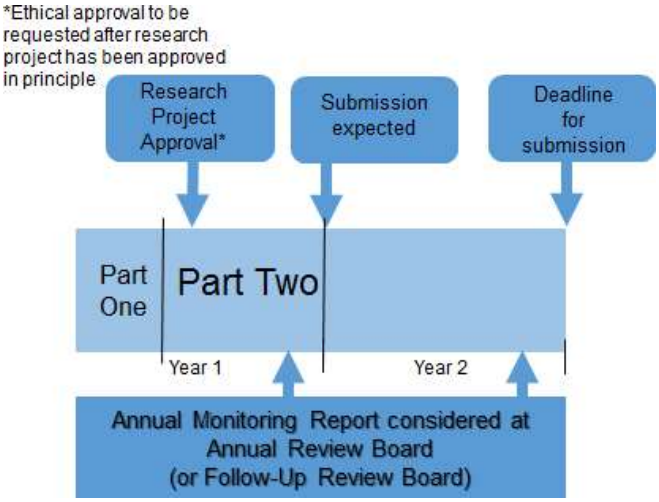
Full-time MA by Research / MSc by Research



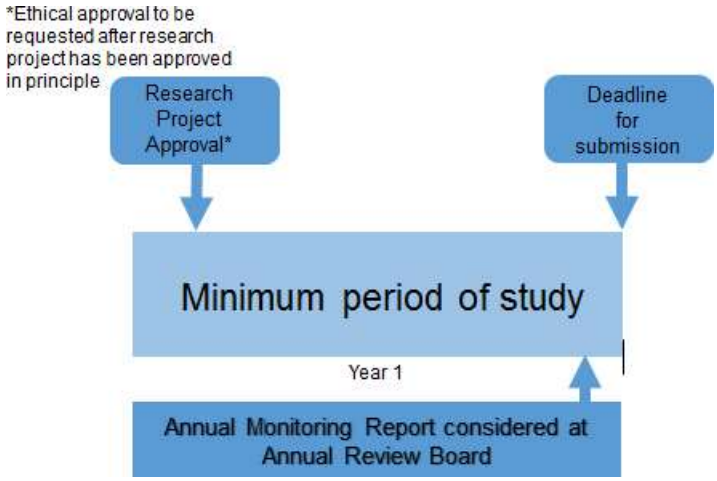
Full-time Professional Doctorate



Full-time Master by Research (MRes)



Full-time PhD by Published Works



Terms of Reference for Progress Review Board

- To consider the progress review paperwork for each student (and any action plan review paperwork) and assess the progress and performance of each student, taking into account the comments of the supervisory team and Institute and the student's own assessment of their progress;
- To formally make final decisions in relation to the outcome for each student (satisfactory, cause for concern, unsatisfactory and termination of studies) and confirm any associated action plans or remedial action and to report these outcomes to the Research Degrees Committee;
- To take appropriate action on any concerns raised by either the supervisory team or the student in the annual or review paperwork (or action plan review paperwork);
- To keep minutes of the decisions made by the Board, including relevant comments on the performance of students.
- The membership of the Progress Review Board is the same as RDC.

Progress Review Outcomes

Satisfactory Progress

A student's progress will normally be deemed "**satisfactory"** where the student:

- Has a complete supervisory team and has maintained regular and frequent contact with it,
- has successfully completed all relevant milestones (such as obtaining approval for a full research proposal and obtaining ethical approval),
- is actively engaged on the research project, and,
- in the opinion of the supervisory team, is making appropriate progress and so is likely to be able to write up the research project in an appropriate academic format for it to be critically assessed by examiners.

Where a student's progress is deemed "satisfactory", the next Progress Report will be considered at the Progress Review Board held 12 months later.

Cause for concern

A student's progress will normally be deemed "**cause for concern"** where one of more of the issues below are apparent for the student:

- is not maintaining regular and frequent contact with the supervisory team, or,
- lacks a complete supervisory team, or
- has not completed all relevant milestones, or
- is not fully engaged on the research project, or,
- in the opinion of the supervisory team, is not making appropriate progress and so is not likely to be able to write up the research project in an appropriate academic format for it to be critically assessed by examiners without remedial action.

Where progress is classified as "cause for concern", the student must meet with their supervisory team and agree actions to be completed to address the issues highlighted by the Progress Review Board. The supervisory team must submit a progress review report to the next Progress Review Board. Where a supervisory team is not in place, the Progress Review Board will identify an appropriate person with whom to meet to rectify the situation.

Where progress is classified as "cause for concern" at two consecutive Progress Review Boards, progress will be classified as unsatisfactory. This is not the case, if the cause of the "cause for concern" is a lack of a supervisory team.

Unsatisfactory

A student's progress will normally be deemed "**unsatisfactory"** where one or more of the following are apparent for the student:

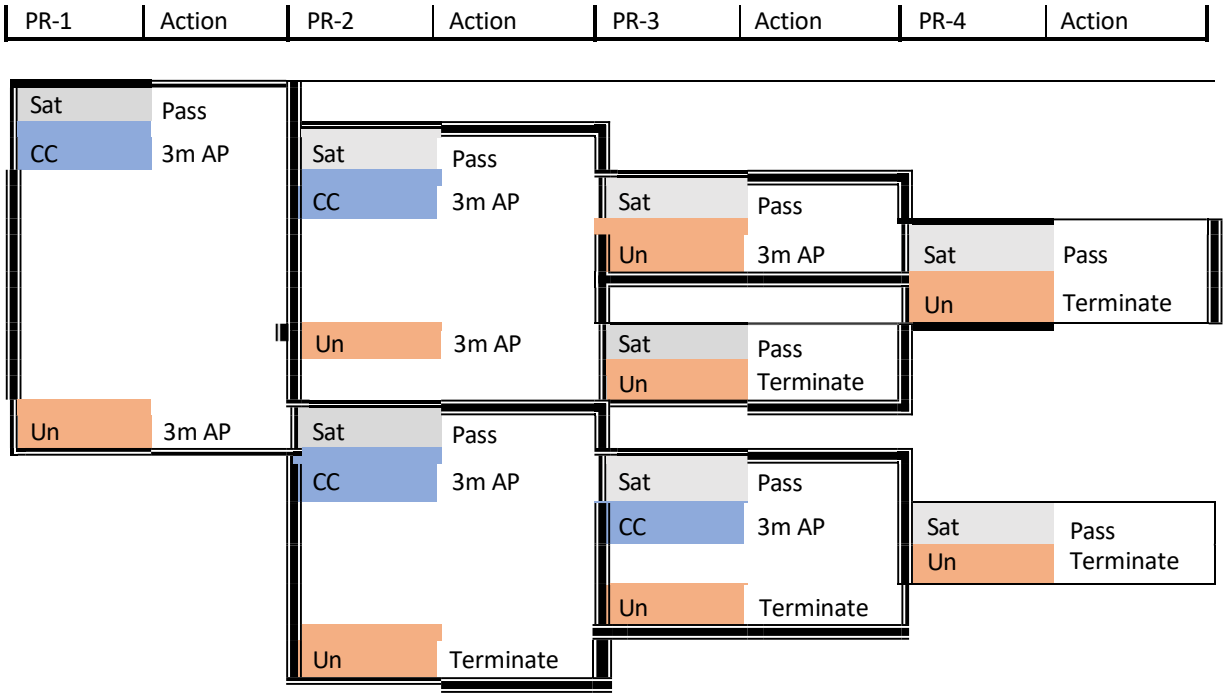
- has not been in contact with the supervisory team for a period in excess of 3 months, or
- is not engaged on the research project, or,
- has not completed any outstanding milestones within a reasonable timeframe, or
- in the opinion of the supervisory team, is not making any tangible progress and so would not be able to write up the research project in an appropriate academic format for it to be critically assessed by examiners without drastic intervention.

Where progress is classified as "unsatisfactory", the student must meet with their supervisory team and agree actions to completed to address the issues highlighted by the Progress Review Board. The supervisory team must submit a progress review report to the next Progress Review Board.

If, progress is considered as "unsatisfactory" at two Progress Review Boards within a 12-month period, the student's candidature will be terminated.

Summary of assessments and recommendations

Key: Assessment: Sat = Satisfactory; CC = Cause for concern; Un = Unsatisfactory / Actions: Pass = go into 12-month review cycle; 3m AP = 3-month action plan;



Probationary Period of Study (PhD Only)

Students enrolling on the degree of PhD will be enrolled in the first instance on a probationary period of study.

Probation timeline

• Full Time		• Part Time	
• Probation Panel	• Within 18 months	• Probation Panel	• Within 36 months

Expectations during probation

Through the probationary panel, the student will be expected to demonstrate the ability to proceed with further research and will be expected to meet the following general criteria:

- The student shows a good knowledge and understanding of their subject and associated methods and techniques;
- The student has carried out a comprehensive literature review;
- The student has demonstrated potential to make an original contribution to the relevant field of study;
- The student can present and communicate work orally, and in writing, in a successful manner;
- The student has satisfactorily completed the training modules or courses which were identified at the start of studies;
- The student can evidence competency, both written and spoken, in the language of submission (English or Welsh).

The supervisory team may set additional criteria to measure the performance of the student during the probationary period. Any additional criteria must be made clear to the student at the point of enrolment.

Ending Probation (PhD Only)

In order to end the probation period, all PhD students will be required to successfully undergo a probation panel. As part of the panel, they must submit:

- a sample of work,
- Form PG7B(2) - Student Submission for Probation Panel

This submission should include information on the progress of the research project, an assessment of required training needs, any outstanding issues that need to be addressed, and a clear proposal for the next stages of the research project.

Probation Panel

The Probation Panel will consist of the supervisory team together with an assessor and a Chair, both of whom should be independent of the supervisory team. The composition of the panel is approved by RDC. The panel is then organised by the Chair.

The aim of the Probation Panel is to ensure that the student meets requirements set out above and to give the student an experience of the examination process for PhDs.

Probation Panels will normally meet and hold an oral examination of the student following the submission of the appropriate paperwork.

The format of the Probation Panel meeting may vary but will generally follow the same format as oral examinations for PhDs and may include the request for a PowerPoint overview of the work so far plus a chapter from the thesis.

It is the responsibility of the student to make the Chair aware of mitigating circumstances which may affect the student's performance in the panel prior to the start of the meeting. It is responsibility of Chair to confirm any appropriate accommodations that are necessary as a result. Academic appeals based on mitigating circumstances which could have been brought to the attention of the Examining Board prior to oral examination shall not be considered.

At the start of the examination, the Chair will ensure that student is introduced to the panel. The Chair should explain the purpose of the Probation Panel to the panel and the student. The Chair should also ensure that the panel and the student are aware of the University regulations and guides dealing with the examination of a research thesis. The Chair will explain the structure of the panel and clarify the roles of the panel members and any other individuals present. If any other individuals are present, the Chair should confirm that the student and, if appropriate, the panel have no objections to the presence of those individuals.

The Chair may ask the student to give a short overview of the research at the beginning of the examination, this may be in the form of a PowerPoint presentation.

At the end of the oral examination, the student will be asked to leave the room whilst the panel decide on their recommendation. The student will then be asked to return to the room for feedback on the oral examination and to be informed of the recommended outcome that will be sent to RDC. The Chair should make it clear that the recommendation of the panel is provisional and that final decision is taken by the RDC. The Chair should inform the student of the approximate timescale for receiving the formal notification of the outcome.

The Probation Panel will recommend one of the following outcomes:

- Pass probation and continue with studies;
- Probation extended for up to 3 months for full-time student and by up to 6 months for part-time students: the Panel must stipulate the conditions which must be addressed. If the conditions are not met, the Probation Panel must meet again.
- Probation extended for up to 6 months for full-time students or by up to 12 months for part-time students: at the end of the extended period of probation, the Probation Panel will meet again. This option is not available for students whose probation has been already been extended;
- Transfer to a lower award (either to an MPhil or to an MA by Research / MSc by Research)
- Required to withdraw.

Students have the right to appeal all decisions as set out in the Student Academic Appeal Policy.

Interruption of Studies

These regulations only apply for students undertaking the research element of a research degree.

Students do not have the automatic right to interrupt their studies; a request to interrupt studies must be made on the corresponding form. Students are also eligible to apply for an interruption of studies during the correction or re-submission period.

Grounds for interruption

The grounds on which a student can request an interruption of studies are as follows:

- Health or Medical;
- Maternity, paternity or adoption leave;
- Compassionate (including bereavement and serious domestic difficulties);
- Financial;
- Exceptional Professional Commitments;
- Opportunities which contribute to academic development;
- Exceptional circumstances outside the control of the student that seriously compromises the student’s ability to continue with studies.

All applications must be supported by appropriate independent evidence. Incomplete applications will not be approved.

Application procedure

The student must discuss the intention to interrupt studies with the Director of Studies and/or other relevant members of staff in the Institute or collaborative partner institution. International students are strongly encouraged to consult Wales Global Academy before making a final decision, as this may have implications with regards to immigration status. The student should

complete a Request for Interruption of Studies Form. The student must complete all relevant sections of the form and make sure that the grounds for interruption of studies are clearly marked and that independent supporting evidence is provided.

In consultation with the Director of Studies, the relevant Institute Manager of Research Degrees must provide a statement indicating whether or not the Institute supports the request and provide details of the plans and any conditions for return to studies. The completed form must be sent to the Doctoral College Office. Applications which are not fully completed or which are not supported will not be considered. Applications for interruption of studies will not normally be considered unless they have been made in a timely manner.

Normally requests for interruption of studies are considered by Doctoral College Office. Where the Doctoral College Office is unable to make a decision, the request will be referred to a meeting of RDC.

The Doctoral College Office will inform the student of the final decision by means of an Interruption of Studies letter (which may take the form of an electronic communication).

Review of decision not to approve interruption of studies request

The procedures for requesting an interruption of studies ensure that all requests are scrutinised at Institute and University level. Requests are judged against clearly defined criteria and the process is clear and transparent. In exceptional cases, such as the existence of compelling new evidence, the student may request a review of the decision as set out in the Mitigating Circumstances Policy.

Timing and period of interruption of studies

The interruption of studies should normally commence from the beginning of a month so that there is a clearly identifiable point at which a return to studies can be made. In exceptional circumstances an interruption may commence immediately in situations where the student's absence from the University is unavoidable or urgently required.

Normally the interruption of studies should be for a definite period and a date for return to studies must be agreed at the time the interruption of studies is approved.

In supporting a request for interruption of studies, the Institute or collaborative partner institution must give consideration to an appropriate plan for a return to studies and consider whether **any conditions should be set for the return to studies.**

A student who interrupts studies should be aware that it may not be possible to continue to work with exactly the same supervisory team once studies are continued again (e.g. for example as the result of staff retirement or changes in staffing). In such cases, the University will work with the student and seek to identify a suitable alternative member for the supervisory team.

If a student is unable to return on the agreed date, the student must seek further approval to extend the period of interruption. If a student fails to return to studies by the date specified and approval for an extension to the interruption has not been sought, the University shall assume that the student has withdrawn from the University. The student shall be informed in writing that the student has been withdrawn and the record amended. The student shall have the right to appeal against the decision in accordance with the Academic Appeal policy.

Normally the total maximum period for interruption of studies for a research award is 12 months for a full-time student and 24 months for a part-time student. If a period of interruption of studies of greater than this is required, the student should normally withdraw from studies. The student can reapply when able to commit to study again and the University will take previous periods of study into consideration when scrutinising applications.

Where a second period of interruption is applied for, this will only be granted if the exceptional circumstances are likely to be sufficiently resolved before the end of the second period of interruption for the student to complete the research programme without further application for interruption of studies.

When an interruption of studies is approved, then the student's maximum period of candidature will be extended to reflect the period of approved interruption of studies.

A student must consult any sponsor to obtain a clear understanding of the funding implications before interrupting studies; the

University is not able to guarantee the resumption of any external grant or loan.

If the interruption of studies takes place during a year for which tuition fees have already been paid, the Finance Department will recalculate the amount due pro rata to the period of study up to the time of interruption of studies.

Changes in a student's status may affect funding/benefits for which the student can apply and students who have interrupted studies may not be entitled to Council Tax exemption. Students who have interrupted studies are **not** entitled to use the following services:

- Funding
- University Computing Service / Network System
- University Library services
- Students' Union

If a student is from overseas and has student leave to remain in the UK, an interruption of studies will have serious implications for the student's immigration status and the student will not be permitted to remain in the UK for the duration of the interruption of studies.

If a student interrupts their studies within Part 1 and they need to extend the maximum period they are eligible to apply for an extension.

Change of Mode of Study

Change of mode of study (full-time to part-time or part-time to full-time) is only permitted for students who have not completed the usual period of study. A change of mode of study will normally only be actioned on the student's enrolment anniversary. Changes from part-time to full-time will normally only be permitted at the end of even years of part-time study (after 2 or 4 years). Exceptional circumstances may be considered as a special case by RDC on a case by case basis.

The student must discuss the proposed change of mode with the Director of Studies and/or other relevant members of staff in the Institute or collaborative partner institution. The student should seek approval from any sponsor (if appropriate) before requesting a change. If all parties agree to the change in principle, then the student should complete all applicable sections of the relevant form. The Director of Studies should provide a statement indicating whether or not the change is supported. The student will also need to provide written consent from any sponsor (if appropriate).

The completed form must be sent to the Doctoral College Office and will then be considered at the next meeting of RDC. Applications which are not fully completed or which are not supported by the Director of Studies or collaborative partner institution or the student's sponsor (if appropriate) will not be able to be considered by RDC. Requests to retrospectively change mode of study will not normally be considered.

In order to ensure a timely response to requests for change of mode of study, in cases where requests clearly meet the criteria for approval, the Chair of RDC and staff of the Doctoral College Office may approve such requests on behalf of RDC.

Review of decision not to approve change of mode of study

The procedures for requesting a change of mode of study ensure that all requests are scrutinised at Institute and University level. Requests are judged against clearly defined criteria and the process is clear and transparent. In exceptional cases, such as the existence of compelling new evidence, the student may appeal the decision through the Academic Appeal Policy.

Required to change mode of study

Under exceptional circumstances a student may be required to change mode of study due to academic, student cases policies, or financial reasons. In such cases the student will be informed that the mode of study has been changed and will be notified of the reasons for the change. All such cases are approved by RDC.

In all cases where a student has been required to change mode of study, the student will have the right to appeal the decision as set out in the Academic Appeal Policy.

Transfer to a Higher/Lower Award

Transfer to higher award (excluding MRes programme)

- From MA by Research / MSc by Research to MPhil
- From MA by Research / MSc by Research to PhD
- From MPhil to PhD

Students must still be within the usual period of study of the current research degree in order to be considered for a transfer. The student should discuss the intention to transfer to a higher award from the supervisory team and obtain the support of the supervisory team. The student should complete a Request to Transfer Degree Scheme Form which incorporates a revised Full Research Proposal. Students must show how the original research proposal can be expanded to become appropriate for the higher award and present a revised timetable. The supervisory team must comment on the revised Full Research Proposal and on the student's progress to date. The relevant Institute or collaborative partner institution must indicate whether or not the Institute supports the request. The completed form must be sent to the Doctoral College Office. Applications which are not fully completed or which are not supported by the Institute or collaborative partner institution will not be able to be considered.

RDC will consider the request and the statement from the supervisory team, and where the request is approved in principle will then consider the revised Full Research Proposal. Where RDC is unable to approve transfer or is unable to approve the revised Full Research Proposal after a second submission, the student will be given the option of completing the original award.

Where a student is approved to transfer to a PhD, the student will be required to undergo a Probation Panel.

Transfer to a lower award (excluding MRes programme)

- From PhD to MPhil
- From PhD to MA by Research / MSc by Research
- From MPhil to MA by Research / MSc by Research

Students must be within no less than 6 months (full-time) or 1 year (part-time) of the maximum submission date of the lower award in order to be considered for a transfer. The student should discuss the intention to transfer to a lower award from the supervisory team and obtain the support of the supervisory team. The student should complete a Request to Transfer Degree Scheme Form which incorporates a revised Full Research Proposal. Students must show how the original research proposal can be reduced to become appropriate for the lower award and present a revised timetable. The supervisory team must comment on the revised Full Research Proposal and on the student's progress to date. The relevant Institute or collaborative partner institution must indicate whether or not the Institute supports the request. The completed form must be sent to the Doctoral College Office. Applications which are not fully completed or which are not supported by the Institute or collaborative partner institution will not be able to be considered.

RDC will consider the request and the statement from the supervisory team, and where the request is approved in principle will then consider the revised Full Research. Where RDC is unable to approve transfer or is unable to approve the revised Full Research Proposal after a second submission, the student will be given the option of completing the original award.

Required to Interrupt

Under exceptional circumstances a student may be required to interrupt studies due to academic, health, or disciplinary reasons. Such requirement should be made through the appropriate University policy (e.g. Support for Study, Fitness to Practise or Non-Academic Misconduct).

Students who are in debt to the University are not normally allowed to re-enrol and continue to their studies until the debt is cleared.

Voluntary Withdrawal

Before a student considers withdrawing from the University it is important that the student discusses this with the Director of Studies and/or other relevant members of staff in the Institute or collaborative partner institution, so that possible alternatives are considered before a final decision is made. International students are strongly encouraged to consult the International

Registry before making a final decision, as this may have implications with regards to immigration status. The student should also consult Student Services and any sponsor (if applicable).

Formal notification of withdrawal has to be on the Notification of Withdrawal Form. The form must be signed by the student. The Doctoral College Office will notify the Institute of the student's decision. The date of withdrawal will be noted as the date of receipt of the form.

Extensions to the Maximum Time Limit for Completing a Research Degree

Details of the maximum time limits for the completion of each research award are provided in this Code of Practice. These time limits may be extended in exceptional cases by submitting a request to the Doctoral College Office. The maximum time limit for completing a research award will automatically be adjusted to take into consideration time spent on an approved interruption of studies. Students are eligible to apply for an extension during the correction or re-submission period.

Grounds for extension

The grounds on which a student can request an extension to the maximum time limit for an award are as follows:

- Health or Medical;
- Compassionate (including serious domestic difficulties);
- Exceptional Professional Commitments.

All applications must be supported by appropriate independent evidence. Incomplete applications will not be considered and the form will be returned to the student and / or Institute or collaborative partner institution.

Application procedure

The student should complete a Request for Extension to Candidature Form. The student must complete all relevant sections of the form and make sure that the grounds for the application are clearly marked, the period of extension is identified, and that appropriate independent supporting evidence is provided:

- requests on specific or recurring health or medical grounds must supply independent medical evidence, including a clear indication of the nature of the illness and its duration;
- requests on compassionate grounds must supply independent evidence in support of the case which clearly explains the situation and indicates how long the circumstances have impeded the student's ability to engage with study;
- requests on the grounds of exceptional professional commitments must be accompanied by written confirmation from the employer which provides a description of the exceptional workload borne by the student and for how long this was the case.

The student's application must be accompanied by a statement from the Director of Studies and Institute or collaborative partner institution, showing that they have evaluated the situation and indicating whether or not they consider the requested extension to be appropriate. They must provide clear evidence of the work completed, the work to be completed, and an assessment of whether the period requested is feasible to achieve this.

Normally the Doctoral College Office will consider the evidence provided and the statement from the Director of Studies and Institute or collaborative partner institution and reach a decision on whether the extension request is to be granted or not and the exact length of the extension in cases where the extension request is granted. Where the Doctoral College Office is unable to make a decision, the request will be referred to a meeting of RDC.

The Doctoral College Office will inform the student of the final decision by means of an Extension Outcome letter (which may take the form of an electronic communication).

Review of decision not to approve extension requests

The procedures for requesting an extension ensure that all requests are scrutinised at both Institute or collaborative partner institution and University level. Requests are judged against clearly defined criteria and the process is clear and transparent, therefore the decisions are final. In exceptional cases, such as the existence of compelling new evidence, the student may appeal the decision through the Academic Appeal Policy.

PREPARING THE THESIS FOR SUBMISSION

The University cannot accept a thesis submission where there are outstanding fees.

There is no specification for the internal structure of the thesis, but the structure should be discussed with the supervisors and is to be the structure most appropriate to the subject area. Examiners will expect a thesis to be well presented with a consistent system of indexing and referencing throughout the work that is appropriate to the specific discipline.

Given the specific nature of PhD by Publications a suggested structure is given below.

Guidelines in relation to the format and binding of a thesis are provided in the following section.

Maximum word length

In all cases the length of the thesis must be appropriate to the subject area covered, and should normally confirm to the limits set below:

- For an MRes the word length is not to exceed 30,000 words excluding footnotes and references.
- For an MA by Research / MSc by Research the word length is not to exceed 40,000 words excluding footnotes and references.
- For an MPhil the word length is not to exceed 60,000 words excluding footnotes and references.
- For a Professional Doctorate the word length is not to exceed 60,000 words excluding footnotes and references.
- For a PhD the word length is not to exceed 100,000 words excluding footnotes and references.
- The reflective written element of practice-based PhDs should be no less than 20,000 and no more than 50,000 words excluding footnotes and references.
- The reflective written element of practice-based MPhils should be no less than 10,000 and no more than 25,000 words excluding footnotes and references.
- The reflective written element of practice-based MA by Research / MSc by Research should be no less than 10,000 and no more than 15,000 words excluding footnotes and references.

The balance between reflective written and practical elements will be determined by individual students, in consultation with their supervisors. In practice-based research the student is expected to present a substantial body of creative, curatorial or published work in the form of an exhibition/media output/performance or its appropriate documentation for the final examination.

An aspect of the written element of a practice-based PhD should provide the creative work with a relevant historical, theoretical, critical and/or design context. The format of the thesis must be approved by RDC as part of the approval of the formal research proposal.

There are no set minimum word lengths for each degree (except where noted above for practice-based degrees), however, for the PhD the maximum word length of the MPhil may be taken as a guide, for the MPhil the maximum word length of the MA by Research / MSc by Research may be taken as a guide, and for the Professional Doctorate and MPhil, the maximum word length of the MRes may be taken as a guide. The maximum word length for a Taught Master's dissertation may be taken as a guide for the MRes.

Inclusion of artefacts within a thesis

Where a thesis includes artefacts, it will need to be reported when a student notifies the University of their intention to submit. Students will need to be able to demonstrate how any such artefacts relate to the thesis and its defence.

Inclusion of published papers in a thesis

The inclusion of previously published material written by the student as an integral part of the body of work submitted for examination is acceptable, as long as any such material is appropriately integrated and referenced within the thesis. The thesis presented must be a coherent piece of work and must demonstrate explicitly the thesis' individual contribution to knowledge.

To demonstrate the thesis' individual contribution to knowledge, a copy of all published papers by the student contributing to

the thesis must be included as appendices. In addition, an explicit statement of the ownership by the student is required in relation to any published papers that are included as part of the submission. In relation to multi-author papers, a clear identification of collaborative content is required for each published paper included in the submission, and must identify the elements of the published work authored by the student. Co-authors will be asked to verify the extent of the contribution made by student. A student needs to indicate that published papers will be included when the full research proposal is submitted to RDC.

For thesis presented for PhD by Publication, the work submitted for the degree should consist of a collection of published works, papers, chapters, books, and/or creative works in any media (including suitable documentation of performance, installation, and other temporary works). Together these should form a coherent programme of research and have been accepted for dissemination by reputable journals, publishing houses, galleries, venues or similar publishing media in the field.

Students are encouraged to publish papers derived from their thesis. Where papers are published prior to submission, students should include the papers with the submitted thesis as appendices and following the requirements set out above with the exception of the need to note this in the research proposal.

Guidelines for the Format and Binding of the thesis

Format of the Thesis

A student's research for a research degree is to be completed by the presentation of a thesis embodying the methods and results of the research. The thesis is to be written in Welsh or English. The use of brief quotations in other languages is permitted.

The length of a research thesis must be appropriate to the subject area but does not include the abstract, acknowledgments, table of contents, tabulated data, diagrams, essential footnotes or endnotes, references, notes on transliteration, any appendices, and the bibliography. Details on the word length of a thesis for each degree are set out above. Where appendices are included, these may, where appropriate, be presented as a separate volume to the thesis.

There is no specification for the internal format (structure) of the thesis, but the structure should be discussed with the supervisory team and is to be the structure most appropriate to the subject area. Examiners will expect a thesis to be well presented with a consistent system of indexing and referencing throughout the work.

The student holds copyright as author of all work submitted for assessment. Each student must grant the University the right to publish the thesis, abstract or list of works, and/or to authorise its publication for any scholarly purpose with proper acknowledgement of authorship. Students own the copyright to their thesis and the rights to publish and distribute it, unless they have made arrangements to transfer copyright to a third party (e.g. a sponsor). By depositing the thesis in the library or the University Repository, students are not transferring copyright: they are allowing UWTSD to store a copy of their work, but they remain free to publish the thesis elsewhere.
When the thesis is added to the e-repository it is considered 'published' by copyright law. It is the author's responsibility to ensure copyright is cleared and / or permissions granted. If the thesis contains copyrighted material and the author is unable to obtain permission for the deposit e-copy / library copy then contact copyright@uwtsd.ac.uk for advice and to discuss options.

Standard formatting of thesis:

- Theses, whether for the purpose of examination or for deposit in libraries, must be presented in digital format in Adobe PDF format (see section 4 below).
- The characters employed in the main text (but not necessarily in illustrations, maps, etc.) shall be not less than 12pt; characters employed in all other texts, notes, footnotes, etc., shall be not less than 10pt. Typing must be capable of photographic reproduction and of even quality with clear black characters.
- Text should be in a single column and left-aligned or fully justified.
- Double or one-and-a-half spacing is to be used in the main text and single spacing is be used in the summary and in any indented quotations and footnotes.
- Pages are to be numbered consecutively throughout the thesis from the start of the main body of the thesis, including all pages whether textual or otherwise. For multi-volume theses a single sequence of page numbering should be used. Page numbers should be Arabic numerals (1, 2, 3, 4, and so on) and located centrally at the bottom of the page. Preliminary pages (i to vi in paragraph 1.9 below) should be numbered using lower case Roman numerals (i, ii, iii, iv, and so on).
- A contents list and table of illustrations (if any) must be provided.
- Drawings and sketches must be in black ink; unnecessary details are to be omitted and the scale is to be such that the minimum space between lines is not less than 1 mm. Colour graphics for charts, diagrams etc. and colour photographs

may be used. And scanned images may be included in the electronic copy.

- The full title of the thesis may be no more than 94 characters (including spaces or symbols) and must be provided on the Notice of Candidature.

The minimum widths of margins are to be:

- Inside margin: 40mm
- Top and outside margin: 15mm
- Bottom margin: 20mm
- If double-sided, margins should be set to "mirrored" (so that the inside margin alternates between left and right).

The thesis *(not including PhD by Publication)* must contain within the PDF file:

1. Front title page (see below for wording)
2. The declaration page signed by the student (see end of this appendix for example), a) showing to what extent the work submitted is the result of the candidate's own investigation; b) certifying that the work has not already been accepted in substance for any degree and is not being concurrently submitted in candidature for any degree; c) regarding the availability of the thesis (see paragraph 1.13 below).
3. An abstract not exceeding 300 words to be located at the front of the thesis;
4. Table of contents
5. Abbreviations / Translations (if applicable)
6. Table of Illustrations (if applicable)
7. Main body of thesis
8. Bibliography (depending on the nature of the discipline)
9. Appendixes (if applicable)

A thesis *presented for PhD by Publication* must contain within the PDF file:

- Section 1: Presenting the published work
    1. Summary list of all of all the published works, with a statement after each of the extent of students work to any multi-authored works (with link to Appendix 1, and Appendix 2)
    2. Evidence of the status of all of the published works submitted, including a summary of both academic (citations etc.) and applied contribution
- Section 2: Reflective analysis
    1. Sections likely to include introduction, methodological approach, contextualisation, synthesis, contribution and conclusions
- Appendix 1 – Substantiation statements by all co-authors of student's contribution
- Appendix 2 – Each of the included papers, in format as published

The thesis must contain on its title page:

1. The title;
2. The author's full name and any qualifications (optional);
3. Supervised by: [the names of all members of the supervisory team];
4. Submitted in partial fulfilment for the award of the degree of [degree for which it is offered];
5. University of Wales Trinity Saint David;
6. Year

Note: for students studying at a **collaborative partner institution**, the title page must contain:

1. The title;
2. The author's full name and any qualifications (optional);
3. Supervised by: [the names of all members of the supervisory team];
4. This research was undertaken under the auspices of [collaborative partner institution name];
5. Submitted in partial fulfilment for the award of the degree of [degree for which it is offered];
6. University of Wales Trinity Saint David;
7. Year

Note: for students studying at the University, but **enrolled for University of Wales** awards, the title page must contain:

1. The title;

2. The author's full name and any qualifications (optional);
3. Supervised by: [the names of all members of the supervisory team];
4. This research was undertaken under the auspices of University of Wales Trinity Saint David;
5. Submitted in partial fulfilment for the award of the degree of [degree for which it is offered];
6. University of Wales;
7. Year.

Example 1 – Title page for research undertaken at the University of Wales Trinity Saint David:

Title

Name (with qualifications)

Supervised by: AAAAA, BBBB, CCCC

Submitted in partial fulfilment for the award of the degree of XXXX

University of Wales Trinity Saint David

2019

Example 2 – Title page for research undertaken at a collaborative partner institution:

Title

Name (with qualifications)

Supervised by: AAAAA, BBBB, CCCC

This research was undertaken under the auspices of
the [*name of COLLABORATIVE PARTNER INSTITUTION*]

Submitted in partial fulfilment for the award of the degree of XXX

University of Wales Trinity Saint David

2019

Example 3 – Title page for research undertaken at the University of Wales Trinity Saint David but awarded by the University of Wales

Title

Name (with qualifications)

Supervised by: AAAAA, BBBB, CCCC

This research was undertaken under the auspices of
the University of Wales Trinity Saint David

Submitted in partial fulfilment for the award of the degree of XXX

University of Wales

2019

Students may submit additional material not included within the PDF if such material constitutes the most appropriate method of presenting the information concerned. Such material could include diagrams, maps and similar documents, or other material such as audio or video recordings, slides, films, etc. A list of such separate items is to be provided in the thesis. Electronic copies of this additional material should be included alongside the electronic copy of the thesis.

A thesis submitted for a research degree shall normally be openly available and subject to no security or restriction of access. There can be no restriction of access to the submission for the degree of PhD by Published Works.

On submission of the thesis, a student is to be required to sign a declaration indicating the following (each declaration is available as a separate form):

Declaration 1

1. that the thesis, if successful, may be made available for inter-library loan (subject to the law of copyright), and that the title and summary may be available to outside organisations;
2. that the University will store electronically, copy or translate the thesis to any approved medium or format for the purpose of future preservation and accessibility. That the thesis deposited in the digital repository will be accessible to a wide variety of people and institutions, including automated agents and search engines. That once the thesis is deposited, the item and its metadata may be incorporated into public access catalogues or services, such as national databases of electronic theses.

Or

Declaration 2

1. that the thesis, if successful, may be made so available after the expiry of a bar on photocopying and/or access.

The title and summary of the thesis are normally freely available. Please note that in relation to the electronic storage of theses in the field of Creative Writing only the abstract would be stored in a separate Eprints (e-repository) collection and that such theses would be indexed electronically as abstracts only.

Binding of the Thesis

The University does not require bound copies to be made available any longer. Only electronic copies should be presented for examination. If this is not possible due to the nature of the thesis then please contact pgresearch@uwtsd.ac.uk.

What to submit

Before the maximum submission date a student must submit to the Doctoral College Office:

1. one electronic copy of the thesis in PDF format;
2. one copy of the abstract
3. one completed “Notice of Candidature” form.

Submission of Thesis

A thesis presents a student’s research results, describing the research with reference to relevant work in the field. It will include a description of the methods of research considered, and those actually employed, and present the student’s conclusions. It is essential that any use of another author's work is properly acknowledged. The thesis is the student’s own work and must be written by the student.

It is essential that the student discusses general layout and referencing conventions with the supervisory team to ensure that subject or discipline-specific requirements or rules are followed right from the start. The supervisory team is expected to provide constructive criticism and feedback on the thesis during candidature. However, supervisors should not be requested to provide English language training or undertake proof-reading.

The Intention to Submit form should be completed and submitted to the Doctoral College Office no less than 3 months prior to the expected date of submission. On submission of the Intention to Submit form, the Doctoral College Office and the supervisory team will start arrangements for appointing an Examining Board.

On the completion of the usual period of study and prior to the maximum submission date, a student must submit to the Doctoral College Office an electronic copy of the thesis and any additional material.

A student may not amend, add to, or delete from the thesis after it has been submitted and prior to examination save with the consent of the Chair of the Examining Board. If a student finds that material has been left out of the copies of the thesis sent to the examiners, it is the decision of the Chair of the Examining Board on whether to permit the missing material to be sent to the examiners. A student can withdraw the thesis after it has been submitted and prior to the examination, but once a thesis has been withdrawn it cannot be submitted again for the same degree.

Upon receipt of the electronic submission, the thesis will be submitted to Turnitin and the report will be passed to the examiners, upon their request. The thesis will be forwarded to the examiners as soon as possible. If a viva voce examination is to take place, this can be expected within 12 weeks of the examiners receipt of the thesis.

Note on early submission

In some cases, a student may wish to submit their thesis before the end of the usual period of study. The student will still be required to pay the full fees for the usual period of study even if the thesis is submitted before the end of this period. If a student is considering submitting a thesis early, the student must discuss the matter with the supervisory team as early submission may affect the academic quality of the work. In addition, the supervisory team are responsible for nominating the Examining Board and will need reasonable time for the nomination and approval of the Examining Board.

If a student does decide to submit early, after consultation with the supervisory team, the student must complete and return the Intention to Submit form. The Doctoral College Office will also seek written confirmation from the Director of Studies that the supervisory team is aware of the student's intention to submit early. If the supervisory team does not agree with the student's intention to submit early, the Doctoral College Office will write to the student formally, outlining the potential consequences of such an action.

An international student who holds a Tier 4 (General) visa should be aware that an early thesis submission may impact on the duration of the student's visa and should consult the International Registry before making any decision on early submission.

Note on maximum submission

If a student has not submitted by the maximum submission date the Doctoral College Office will make three attempts to contact the student with regards to submission (and if an extension is required). After three failed communication attempts the student will be automatically withdrawn.

Access to the Thesis

The default position for any research degree thesis is that it will be openly available and subject to no security or restriction of access. However, it is recognised that sometimes the results of research may be commercially valuable or sensitive in other ways (for example in the use of material that is restricted by agreements or other contracts). To protect this confidentiality, the University permits a bar on photocopying and/or access to be placed on the thesis for a specified period of up to 5 years. Any request for a bar on photocopying and/or access should normally be made as part of the Intention to Submit form is completed but may be made earlier. A request for a bar on photocopying and/or access which is received after the thesis has been submitted will not be considered.

Supervisor Comments after submission

Supervisors may provide comments to the Doctoral College Office if they have concerns about a submitted thesis. The Doctoral College Office should share these with the Chair of the Examining Board. The Chair may share these with examiners only after they have completed their deliberations.

Examination of Research Degrees (Supervisor and Examiner Guidance)

Introduction and Scope

The following policy relates to the examination of research degrees at UWTSD and applies to full-time and part-time postgraduate research students of the following degrees:

- PhD,
- MPhil,
- MA by Research / MSc by Research,
- Professional Doctorates (DBA, DProf, Ed D, DMin),
- MRes,
- PhD by Published Works.

This guidance is intended for use by examiners, academic and administrative staff, and postgraduate research students of the degrees in listed above.

Any deviation from this policy will only be considered in the most exceptional circumstances and must be agreed in writing with the candidate before the examination takes place. Enquiries should initially be directed to the Doctoral College Office (pgresearch@uwtsd.ac.uk)

This document should be referred to along with the relevant degree regulations (Academic Quality Handbook Chapter 8) and other policies that comprise the Code of Practice for Postgraduate Research Degrees, of which this policy forms one section.

Notice of Submission

Candidates must complete an *Intention to Submit Form*, available electronically in the Doctoral College Office, 3 months prior to the expected date of FIRST submission or 1 month prior to a resubmission to enable preparations for the oral examination to be made. Examination of the thesis can only commence once an exam board is approved by RDC and all necessary checks are completed (including those required by HMRC or the UKVI).

On submission of the completed *Intention to Submit Form*, the candidate's supervisor will ensure that examiners are nominated with the Nomination of Exam Board Form.

When the candidate feels that the thesis is nearing a standard suitable for submission they should contact their supervisor(s) to seek advice on when to give notice. The supervisors' opinions are only advisory and the candidate may decide when to submit and if to follow the advice of the supervisor. Equally, the agreement of the supervisor(s) to the submission of a thesis does not guarantee the award of the degree.

Where a supervisor advises a candidate against submitting their thesis, it is recommended that the supervisor notes their concerns with the Doctoral College Office with the reasons for advising against submission.

Upon receipt of the electronic submission and the Notice of Candidature Form the thesis will be submitted to Turnitin and the report will be passed to the examiners.

Timeframe and Arrangements for Examination

A submitted thesis will be forwarded to appointed examiners as soon as is reasonably possible. Where an oral examination is required, this should normally be held within 12 working weeks of the examiners' receipt of the thesis. The University by default will be sending electronic copies of theses to examiners. A hardcopy will be supplied (or arranged) on request.

MA by Research / MSc by Research and MRes

After the thesis has been forwarded to the examiners, the Chair of the Examining Board is responsible for ensuring that the independent reports are received in a reasonable timeframe (usually no more than 6 working weeks of the examiners' receipt of the thesis). Where it is determined that an oral examination is required, then the procedures and timeframes set out below should be followed.

Where an oral examination is required, this should normally be held within 6 working weeks from the date that RDC confirms that an oral examination is required.

Where no oral examination was required, there is no requirement for a joint report, but if either examiner requires corrections and amendments to be made, that examiner must provide full instructions of the corrections and amendments required and the Chair must indicate the overall recommendation of the Examining Board.

MPhil, PhD, PhD by Published Works, and Professional Doctorate

After the thesis has been forwarded to the examiners, the Chair of the Examining Board is responsible for setting a date for the oral examination which is mutually acceptable for all the examiners. This should normally be held within 12 working weeks of the examiners' receipt of the thesis.

An independent pre-viva report from each examiner must be submitted to the Chair at least 1 week before the date of the viva. The completed post-viva report must be submitted to the Doctoral College Office within a maximum period of 2 weeks after the date of the viva. Failure to submit the required reports within these timescales is considered a breach of the contract of the examiner.

Once a date has been agreed, the Chair will confirm the date and location with , the examiners, the student, and the supervisory team (all parties should be given at least 2 weeks' notice of the date for the oral examination). In exceptional circumstances (and where relevant independent evidence is provided), a student may request a postponement of the oral examination. If any party becomes unavailable due to exceptional circumstances, the oral examination should be postponed. The oral examination may not be postponed for a period exceeding 12 months from the date of submission of the thesis.

A student may invite a member of the supervisory team (including former members of the team) to be present during the oral examination. Any member of the supervisory team is present as a silent observer and must not participate in the examination process. Towards the end of the oral examination any members of the supervisory team may be asked to leave to allow the student the opportunity to discuss their supervision in confidence if they so wish. Where a member of a supervisory team expresses a desire to attend the oral examination, but this has not been directly requested by the student, the student must be asked, in confidence, whether they agree to the attendance of that member of the supervisory team.

If a student fails to attend the oral examination without prior notification, the student will be deemed to have failed and the Examining Board should return a recommendation that the student be not approved for the award of a degree.

The examiners are not allowed to communicate with each other prior to the submission of their independent reports to the Doctoral College Office. Students must not communicate with the examiners prior to or following the oral examination concerning the thesis until such time as the examination process is completed (including any period for corrections and amendments or resubmission). All communication should be through the Chair.

Any member of a student's supervisory team shall have the right to convey to the Chair of the Examining Board any concerns relevant to the student's research project, the resulting thesis or its examination which the member of the supervisory team consider the Board should be aware of prior to reaching a decision. The member of the supervisory team should convey these concerns, in writing, both to the Chair and to the student as soon as practicable after the submission of the thesis to allow the student sufficient time prior to the examination of the thesis (including any oral examination) to consider the points made and prepare a response.

Location for vivas

The University allows *vivas* to take place either face to face on one if its campuses, through electronic means, or exceptionally at another location. The examination board nomination form asks for information on where the viva will be held and the justification for that choice of location.

For vivas held electronically, the protocol for holding a viva by electronic means should be followed.

Members of Examination Board

Normally an Examining Board will comprise of the following individuals:

- A Chair;

- An Internal Examiner;
- An External Examiner.

Where the student is a member of staff of the University or of a collaborative partner institution, or where it proves impossible to appoint an internal examiner (either from within the University or a collaborative partner institution), or where a special case is made to (or by) RDC, the Examining Board shall comprise of the following individuals:

- A Chair;
- Two External Examiners.

Nominations for the composition of the Examining Board must be made using the Nomination of Exam Board Form. Any changes to the composition of the original Examining Board must be approved by RDC.

Changes to examiners must be approved by RDC, changes to the examining board must be made on the Request to Change Exam Board Form.

In order to avoid unnecessary delays in the examination process, the Nomination of Exam Board Form should be submitted to the Doctoral College Office no less than 2 months prior to the expected date of submission of a student's thesis.

RDC is responsible for considering all nominations and for the approval of all Examining Boards.

Composition of an Examination Board

Research degrees examiners must show appropriate evidence of the following to be appointed to an Examining Board:

- relevant academic and/or professional qualifications to at least the level of the qualification being examined, and, where appropriate, extensive practitioner experience;
- knowledge and understanding of UK sector agreed reference points for the maintenance of academic standards and assurance and enhancement of quality;
- specialist experience and expertise in the subject of research with evidence of recent advanced scholarship and research;
- competence and experience in examining research degrees, at the level covered by the programme of study. If the proposed external examiner has not acted as an external examiner before, there must be evidence of experience of acting as an internal examiner of a higher degree and the proposed internal examiner must have experience of acting as both an internal examiner and as an external examiner;
- sufficient standing, credibility and breadth of experience within the discipline to be able to command the respect of academic peers and, where appropriate, professional peers;
- a thorough knowledge and understanding of the standards to be expected of students in order to achieve the award that is to be examined;
- fluency in English, and where thesis is presented and assessed in Welsh, fluency in Welsh.

In addition, all examiners must be prepared to examine the whole thesis. It is not acceptable to appoint a person as an examiner who is not prepared to make a judgement on the whole thesis, even if that person's particular expertise is more relevant to some parts of the work than to others.

RDC will carefully consider the overall composition of the Examining Board. Lack of previous experience of examining a research degree on the part of one of the examiners must be compensated for by extensive experience on the part of the other examiner. For instance, where a proposed external examiner has little or no experience of acting as an external examiner, then the proposed internal examiner must have extensive experience of acting as an examiner. Where the proposed internal examiner is relatively inexperienced, the proposed external examiner must have extensive experience of acting as an examiner. In all such cases the Chair of the Examining Board must have sufficient seniority and experience and must be well acquainted with the University's Research Degree Regulations and the University's approach to research degrees.

Additional person specification for Chairs of Examination Boards:

- knowledge and understanding of UK sector agreed reference points for the maintenance of academic standards and assurance and enhancement of quality;
- relevant academic and/or professional qualifications to at least the level of the qualification being examined, and, where appropriate, extensive practitioner experience;
- competence and experience in examining research degrees, at the level covered by the programme of study, with mentoring and training being provided for inexperienced chairs;

- a thorough knowledge and understanding of the standards to be expected of students in order to achieve the award that is to be examined.

Ensuring Exam Board Impartiality

The University requires that examiners must be able to exercise impartial judgement and requires that they must not therefore have any potential conflicts of interest (either professional or personal) which might compromise objectivity.

For all research degrees, apart from MRes programmes of study, an external examiner can be appointed to a research degree Examining Board no more than three times in a calendar year. For MRes programmes of study, an external examiner can be appointed to an Examining Board no more than ten times in a calendar year.

To avoid potential conflicts of interest an individual shall not be appointed as an external examiner if:

- the individual is a member of the governing body or of one of the committees of the University or one of its collaborative partners, or a current employee of the University or one of its collaborative partners;
- the individual has a close professional, contractual or personal relationship with a member of the supervisory team or the proposed chair of the Examining Board (a close relationship is one where there is a degree of relationship beyond intermittent association; examples of a professional relationship are: co-investigator on project within the last three years, joint supervision of research student within the last three years, graduate advisee/advisor relationship - including former research degree supervisor where such supervision ended less than three years previously; an example of a contractual relationship is co-owner of outside business interest; examples of a personal relationship are: family relationship - by marriage or blood, current or former intimate relationship - including marital, sexual, romantic, emotional whether heterosexual or same sex relationship, close friendship/social relationship, personal animosity);
- the individual is significantly involved in recent (within the last 5 years) or current substantive collaborative research activities with a member of the supervisory team or the proposed chair of the Examining Board;
- the individual is a former member of staff or student of the University or a (former) collaborative partner institution unless a period of 5 years has elapsed;
- the appointment would create a reciprocal arrangement;
- the individual has retired and is no longer active within the field.
- Where a member of the supervisory team also has a contract of employment at another institution, then no external examiner of the Examining Board for this candidate can be appointed from that institution.
- Where a researcher has had substantial co-authoring or collaborative involvement in the student's work or whose own work is the focus of the research project, the researcher can only exceptionally be appointed as an external examiner.

To avoid potential conflicts of interest an individual shall not be appointed as an internal examiner if:

- where an individual has had substantial co-authoring or collaborative involvement in the student's work or whose own work is the focus of the research project, the individual can only exceptionally be appointed as an internal examiner;
- a member of staff cannot be appointed as an internal examiner if, at any stage of the candidature, they have been part of the supervisory team.
- Where there are changes in the circumstances of an examiner or where circumstances which were previously unknown become known which may lead to conflicts of interest, the University should be notified as soon as possible so that RDC can make a decision on the individual's suitability to continue as an external examiner on the Examining Board.

Where an internal examiner has a managerial relationship with the Director of Studies, care must be taken to ensure the complete independence of the examiner or Chair;

Where an individual is deemed to meet the criteria for appointment as an examiner as set out above, but cannot be appointed as an external examiner due to being a former member of staff of the University or a (former) collaborative partner institution within the last 5 years, then that individual may be considered for appointment as an internal examiner.

In order to be appointed as an internal examiner, an individual must be listed on the University's Directory of Supervisors and Examiners as a recognised internal examiner.

Mentoring

For new examiners, then a mentoring system must be put in place by the Institute.

- The mentor must be experienced at examining at the appropriate level.
- The mentor should meet with you at least once prior to the viva.
- The mentor should read through the report prior to submission.
- The mentor should advise and guide you through the process.
- The mentor should debrief with you following the examination process.

However, where an additional member (not a member of the examining board) is appointed as mentor, then the mentor is not part of the exam board and therefore should not be contributing to the outcome of the viva!

Duties of Members of the Examining Board

The principal purposes of the University's external examiner system are to ensure that:

- the standard of each award is maintained at the appropriate level;
- the processes for assessment and the determination of awards are sound and fairly conducted.

All examiners are required to do the following:

- Read and examine the complete thesis
- Submit a detailed report prior to the oral examination
- Attend the oral examination (Except if it is deemed not necessary for MRes, MA/MSc by Research)
- Submit a detailed report following the oral examination (Except if it is deemed not necessary for MRes, MA/MSc by Research)
- Contribute to the final joint report

Particular role of internal examiner

- The internal examiner must decide whether the student's research work and knowledge meet the standard which would normally be expected of a student in the Institute submitting for that degree.

Particular role of the external examiner

- The external examiner must decide whether the student's research work and knowledge are of a standard which are comparable to those of students being examined at other institutions for the same degree.

Particular role of Chair of Examining Board

- The Chair is present to ensure that process is rigorous, fair, reliable and consistent with University regulations and procedures. In the event of a review of an examination decision or an appeal, the Chair is required to provide a written report on the conduct of the examination as necessary.

GUIDELINES FOR CHAIRS OF RESEARCH DEGREES EXAMINING BOARDS

Chair of Examining Boards

The Chair, who may not be a member of the supervisory team, shall be a senior and suitable experienced member of academic staff approved for the purpose by the Research Degree Committee. The Chair should not have any previous connection with the student's work and should not have any managerial responsibility for the student.

If the Chair of the Examining Board has little or no experience of acting as a Chair of an Examining Board for research degrees, mentoring and training must be put in place. The overall balance of the Examining Board is important in this respect.

A Chair must always have sufficient seniority and be well acquainted with the University's Research Degrees Regulations and the

University's approach to research degrees.

Responsibility of the Chair

The responsibility of the Chair is to ensure that the examination is conducted in an appropriate manner, according to the established regulations and procedures in place.

The chair is responsible for arranging the practical aspects of the examination; *e.g*. agreeing the date of the viva, collecting the pre-reports from the examiners, arranging the room booking, sending the appropriate links and submitting the required forms to the Doctoral College Office.

Arrangements for the oral examination

- After the thesis has been forwarded to the examiners, the Chair of the Examining Board is responsible for setting a date for the oral examination which is mutually acceptable for all the examiners.

Prior to the oral examination

- The Chair needs to ensure that the examiners forward to the Doctoral College Office an independent written appraisal of the thesis prior to the oral examination. While examiners are not allowed to communicate directly between themselves prior to their independent reports being received by the Doctoral College Office, they should raise any concern about the thesis before the submission of the independent reports with the Chair.
- The Chair should read both independent reports and make a note of any differences between the reports. The Chair should also be alert of any serious problems highlighted in the reports.
- The Chair may consider reporting an examiner to be unreasonable, unfair, not in line with the requirements for the examining of research degrees, or contrary to the regulations of the University. In such cases it is recommended that the Chair refer any concerns to the Chair of the Research Degrees Committee in writing. Similarly, if the Chair becomes aware of any conflict of interest in relation to the composition of the Examining Board, the Chair needs to contact the Chair of the Research Degrees Committee as soon as possible.
- The Chair should ensure that they are fully aware of the regulations governing the examination, the format of the examination (especially in relation to practice-based programmes), and any special arrangements or needs. These include the protocol for holding vivas online.
- If the Chair has any questions or is not sure in relation to an aspect of the examination, he/she should contact staff from the Doctoral College Office. In case of any special arrangements such a consultation with the Doctoral College Office must take place.
- Chairs need to be aware of the regulations and protocols for practice-based examinations in relation to the inclusion of non-textual artefacts and the access to those artefacts prior to the oral examination so that examiners are able to reflect on these in their separate independent reports.
- In recent years there have been changes to the UWTSD regulations covering time periods for certain outcomes and these may now differ from the time period for students enrolled on a University of Wales award. Therefore, different examination forms will be used for UW and UWTSD students. It is crucial that the Chair is fully aware which degree awarding body the student is registered for so that the correct forms are used and the correct advice is given to the examiners in relation to recommended outcomes.
- If a student declares a conflict or raises any issues in regards to the composition or processes involving the panel the Academic Director of the Doctoral College and Chair of RDC must be informed by email immediately.

The oral examination

- During a preliminary meeting of the examining board prior to the oral examination the Chair should discuss with the examiners the structure of the questioning, confirm the initial opinion of the examiners and decide upon the main points to be raised during the examination. The Chair also needs to ensure that the examiners are familiar with the regulations for the degree to be examined and that they are aware that the outcome is a recommendation to the UWTSD Research Degrees Committee and, where appropriate, the University of Wales' Awards Board and not a formal outcome.
- It is the responsibility of the Chair to book the room (usually for four hours or more if required) and catering (tea/coffee/water), and to make sure that the room is ready prior to the examination.
- In the case of collaborative partnerships, room bookings will be done by local administrative staff, but the responsibilities of the Chair remain as outlined in the paragraph above. If there are any issues or difficulties the Chair must liaise with those administrative officers.
- Prior to the start of the oral examination, the Chair should meet the student in private to ask the student whether there

are any health or other personal circumstances, not previously notified via the supervisory team, which may impact on the student's performance in the oral examination.

- At the start of the examination, the Chair should ensure that student is introduced to the examiners, that the student is fit to proceed, and that the atmosphere is reasonably relaxed so that the student are not intimidated by the event. The Chair should explain the purpose of the oral examination to the examiners and the student. The Chair should ensure that the examiners and the student are aware of the University regulations and guides dealing with the examination of a research thesis. The Chair should explain the structure of the oral examination and clarify the roles of the examiners.
- The Chair should remind the student that they are allowed to bring to the oral examination an unannotated copy of his/her thesis and any other material which was submitted with the thesis and blank paper and writing implements to make notes during the oral examination (this may be an electronic copy). However, no other written material, including questions, notes, books or dictionaries may be taken in.
- The Chair should highlight the procedures following the oral examination to the student; i.e. that the recommended outcome will be considered by the Research Degrees Committee and, where appropriate, the University of Wales' Awards Board. The Chair should remind the student to ask for clarification if a question is unclear.
- If the student has requested that a member of the supervisory team is present at the oral examination, the Chair should ensure that the member of the supervisory team is present only as silent observer.
- The Chair may ask the student to give a short overview of the research at the beginning of the examination. This should be agreed with the student prior to the viva and the student may include a PowerPoint presentation if agreed. During the following examination by the examiners the Chair should take notes of the examination.
- When the examiners have indicated the end of the examination, the Chair should ask the student if they want to add anything. At this stage the Chair should also ask any member of the supervisory team to leave the room in order to allow the student the opportunity to discuss their supervision in confidence if they wish.
- At the end of the examination the student and the supervisor if present will be asked to leave the room whilst the examiners decide on their recommendation. This will usually take around 30 minutes but may take significantly longer.
- The student will then be asked to return to the room for feedback on the oral examination and to be informed of the recommended outcome that will be sent to the Research Degrees Committee. The normal expectation is that immediate feedback will be given on the day of the examination following the oral examination. In exceptional circumstances, for example where the examiners are unable to agree on the outcome, the recommendation may need to be deferred. Chairs of examinations in collaborative partner institutions must ensure that students are aware that the recommended outcome will need to be considered and approved by the UWTSD Research Degrees Committee.
- The Chair should inform the student of the approximate time when the announcement of the formal outcome is expected. The student has to be made aware that it can take several weeks depending on the dates of the Committee meetings. Doctoral College Office staff will be able to inform the Chair when meetings of the Research Degrees Committee and UW Awards Board are scheduled.

After the oral examination

- After the oral examination, the External Examiner will be required to complete a report on the oral examination and both examiners will complete a joint report. In some cases the examiners write the reports later. However, the Chair needs to ensure that the examiners have signed the Examination Forms. The form asks for a brief report from the Chair to reflect on the oral examination process and to confirm that all procedures and regulations have been followed correctly.
- The Chair also needs to ensure that the joint report draws together any disparate views on the thesis which may have been expressed by the examiners in their individual reports and that the recommended outcome is fully justified. A brief agreed view of the student's principal strengths and weaknesses, the approach to the topic and the performance at the oral examination should be expressed in the joint report.
- If examiners are unable to reach a recommended outcome, the Chair needs to explain to them the regulation as outlined below.
- Following the oral examination, the Chair has to submit the reports and the signed Examination Forms to the Doctoral College Office within five working days of the examination. These reports will be submitted to the UWTSD Research Degrees Committee and, where appropriate, the University of Wales' Awards Board for approval.

Further Responsibilities

If the outcome of the Examination is Resubmission the Examining Board is required to examine the resubmitted thesis. The resubmitted thesis will be re-examined by both examiners again and both examiners have to submit independent reports. The re-submission Examining Board is required to conduct an oral examination for the re-submitted thesis, although, in exceptional cases the requirement for an oral examination may be waived at the discretion of the re-submission Examining Board and only where both examiners' preliminary independent reports clearly recommend that the student should be approved for the degree sought. The final decision of whether or not to waive the oral examination is taken by the Chair of the Examining Board.

PRELIMINARY EXAMINATION OF THE THESIS

All examination outcomes are provisional until confirmed by RDC.

MPhil, PhD, PhD by Published Works, and Professional Doctorate

Both examiners will write and submit an independent report to the Chair on the thesis.

The independent report represents a pre-viva report which must be submitted at least 1 week before the date of the oral examination. These reports will form part of the examination report which will also consist of a joint report from the oral examination.

Where the submission includes non-textual artefacts, the examination process must have been approved by RDC as part of the nomination of the Examining Board.

Examiners are not allowed to communicate directly about the thesis between themselves prior to their independent reports being received by the Chair. They may raise any concerns about the thesis before the submission of the independent reports with the Chair of the Examining Board.

The Chair should read both independent reports and make a note of any differences between the reports. The Chair should also be alert to any serious problems highlighted in the reports. The Chair may consider the reporting of an examiner to be unreasonable, unfair, not in line with the requirements for the examining of research degrees, or contrary to the regulations of the University. In such cases it is recommended that the Chair refer any concerns to the Chair of RDC in writing. Similarly, if the Chair becomes aware of any conflict of interest in relation to the composition of the Examining Board, the Chair needs to contact as soon as possible the Chair of RDC.

MRes, MA by Research/MSc by Research

Both examiners will write and submit an independent report to the Chair on the thesis.

The independent report represents a pre-viva report which must be submitted at least 1 week before the date of the oral examination. These reports will form part of the examination report which will also consist of a joint report from the oral examination.

The independent report represents an initial report which determines whether or not an oral examination is required.

Where the submission includes non-textual artefacts, the examination process must have been approved by RDC as part of the nomination of the Examining Board.

Examiners are not allowed to communicate directly about the thesis between themselves prior to their independent reports being received by the Chair. They may raise any concerns about the thesis before the submission of the independent reports with the Chair of the Examining Board.

The Chair should read both independent reports and make a note of any differences between the reports. The Chair should also be alert to any serious problems highlighted in the reports. The Chair may consider the reporting of an examiner to be unreasonable, unfair, not in line with the requirements for the examining of research degrees, or contrary to the regulations of the University. In such cases it is recommended that the Chair refer any concerns to the Chair of RDC in writing. Similarly, if the Chair becomes aware of any conflict of interest in relation to the composition of the Examining Board, the Chair needs to contact as soon as possible the Chair of RDC.

The Chair should determine whether an oral examination is required, based on the recommendations of the examiners in the independent reports. Where one or both examiners recommends that an oral examination is required, then an oral examination shall be arranged. If an oral examination is not required, but at least one examiner has indicated that corrections and amendments must be made, then the Chair must identify which examiner will be responsible for scrutinizing the corrections.

The Oral Examination Requirement

Oral examinations are mandatory for doctoral level candidates (including MPhil) presenting for the first time, even when the examiners have either identified serious flaws in the thesis or are entirely satisfied with the thesis content and its quality.

Oral examinations are only required for MRes/MA by Research/MSc by Research candidates when it has been requested by the examiners of the thesis. Where the examiners do not request a viva, they must produce an agreed report in addition to the individual reports.

Examiners are not permitted to fail or refer (outcomes C or D) a thesis on grounds that are not raised with the candidate in the oral examination. In cases where examiners have identified serious flaws in the thesis, the candidate must be given an opportunity to defend their work at an oral examination.

In the case of resubmitted theses for a doctoral level degree, examiners may waive the requirement to hold an oral examination if the recommendation is to award the degree and both/all examiners are in agreement.

Where a student refuses to attend a viva (where reasonable attempts at accommodation have been made), the student will be deemed to have failed their degree.

Purposes of the oral examination

The purposes of the oral examination are:

- To enable the examiners to assure themselves that the thesis and the research it reports are the candidate's own work. Where the thesis is in a journal format there may be sections that are co-authored. The copyright statement at the beginning of the thesis must make it clear which sections are collaborative or not the student's own work to enable the examiners to assure themselves that the thesis and the research it reports are the candidate's own work.
- To give the candidate an opportunity to defend the thesis, clarify any obscurities that the examiners have identified and discuss the subject of the thesis in its disciplinary and/or interdisciplinary context.
- To enable the candidate to demonstrate a firm understanding of the field of research and thus give the examiners an opportunity to assess the candidate's broader knowledge of the field or discipline within which the thesis falls.

The Oral Examination (Viva Voce)

The oral examination will normally be conducted at one of the campuses of the University or at the collaborative partner institution or by video-link. With the approval of RDC, the oral examination may be conducted at another place. In the latter case the Chair must ensure that the student is able to communicate only with the Examining Board during the examination.

When the Examining Board assembles on the day of the examination, the independent written reports of each examiner must be available to all members of the Board. A preliminary meeting of the Examining Board should take place prior to the oral examination to consider the structure of the questioning, to confirm the initial opinion of the examiners and to decide upon the main points to be raised during the examination. Students should be given an opportunity to comment on any adverse points and on any amendments of substance that the examiners are intending to recommend.

Even where both examiners are of the view that the thesis is of the required standard prior to the oral examination, there must be no suggestion that the oral examination is a formality. Examiners are required to satisfy themselves at the oral examination that the thesis is the student's original work and that the student completely understands the contents of the thesis.

It is the responsibility of the student to make the Chair aware of mitigating circumstances which may affect the student's performance in the oral examination prior to the start of the examination. It is responsibility of Chair to confirm any appropriate accommodations that are necessary as a result. Academic appeals based on mitigating circumstances which could have been brought to the attention of the Examining Board prior to oral examination shall not be considered.

A student is allowed to bring to the oral examination an unannotated copy of the thesis and any other material which was submitted with the thesis and blank paper and writing implements to make notes during the oral examination. However, no other written material, including questions, notes, books or dictionaries may be taken in.

At the start of the examination, the Chair should ensure that student is introduced to the examiners. The Chair should explain

the purpose of the oral examination to the examiners and the student. The Chair should ensure that the examiners and the student are aware of the University regulations and guides dealing with the examination of a research thesis. The Chair should explain the structure of the oral examination and clarify the roles of the examiners and any other individuals present. If any other individuals are present, the Chair should confirm that the student and, if appropriate, the examiners have no objections to the presence of those individuals.

The Chair may ask the student to give a short overview of the research at the beginning of the examination.

At the end of the oral examination, the student and any members of the supervisory team will be asked to leave the room whilst the examiners decide on their recommendation. The student will then be asked to return to the room for feedback on the oral examination and to be informed of the recommended outcome that will be sent to RDC. The Chair should make it clear that the recommendation of the Examining Board is provisional and that final decision is taken by the appropriate RDC. The Chair should inform the student of the approximate timescale for receiving the formal notification of the outcome.

Where no agreement is reached by the examiners

If no recommended outcome can be agreed by the examiners, the student should be informed that there is a difference of opinion between the examiners (but not what the differing recommendations are) and that the matter will be referred to an additional external examiner in accordance with the procedures described below.

The Chair of RDC must be informed and an additional external examiner must be appointed by RDC.

The additional external examiner acts as an arbitrator whose role it is to examine the thesis, review the separate examiner reports, and review the process of examination.

The additional external examiner has the following options:

- to endorse one of the two recommendations proposed by the Examining Board;
- to conclude that the substance of the dispute is located in the student's performance in the oral examination and conduct a second oral examination of the student, with the arbitrating examiner and the Chair of the Examining Board present with a recommended outcome decided on for approval by RDC;
- to recommend to RDC that the entire examination process needs to be started again with a new Examining Board. This second Examining Board must decide on a recommended outcome for approval by RDC.

The additional external examiner will be required to submit a report explaining the reason behind the decision reached.

EXAMINING BOARD OUTCOMES

Outcomes for PhD

- **A:** That the student be approved for the degree of PhD;
- **B:** That the student be approved for the degree of PhD subject to the satisfactory completion of such corrections and amendments as may be required by the Examining Board. The Examining Board may stipulate that the corrections made shall be scrutinised by either or both examiners prior to the award process being initiated. Normally, corrections shall be completed within 6 months from the date of official notification to the student of the outcome of the examination;
- **C:** That the student be not approved for the degree of PhD at this stage but that the student is allowed to modify the thesis and re-submit it for examination for the degree of PhD on one further occasion. The re- submission is to take place within a period not exceeding 1 year from the date of the official notification to the student of the outcome of the examination (this option is not available in the case of a student who has re-submitted a thesis for examination);
- **D:** That the student be not approved for the degree of PhD but be approved instead for the degree of MPhil subject where appropriate to the satisfactory completion of such corrections and amendments as may be required by the Examining Board. The Examining Board may stipulate that the corrections made must be scrutinised by either or both examiner(s) prior to the award process being initiated; corrections and amendments must be completed within a period of 6 months from the date of the official notification to the student of the outcome of the examination;
- **E:** That the student be not approved for the degree of PhD but be allowed to modify the thesis and re- submit it for examination for the degree of MPhil on one further occasion. The resubmission is to take place within a period not exceeding 1 year from the date of the official notification to the student of the outcome of the examination (this option

is not available in the case of a student who has re-submitted a thesis for examination);

- **F:** That the student be not approved for the award of a degree. Including where the candidate has failed to effect such minor corrections as stipulated by the board of examiners and not to be approved for the award.

Outcomes Professional Doctorate

- **A:** That the student be approved for the degree of Professional Doctorate;
- **B:** That the student be approved for the degree of Professional Doctorate subject to the satisfactory completion of such corrections and amendments as may be required by the Examining Board. The Examining Board may stipulate that the corrections made shall be scrutinised by either or both examiners prior to the award process being initiated. Normally, corrections shall be completed within 6 months from the date of official notification to the student of the outcome of the examination;
- **C:** That the student be not approved for the degree of Professional Doctorate at this stage but that the student is allowed to modify the thesis and re-submit it for examination for the degree of Professional Doctorate on one further occasion. The re-submission is to take place within a period not exceeding 1 year from the date of the official notification to the student of the outcome of the examination (this option is not available in the case of a student who has re-submitted a thesis for examination);
- **D:** That the student be not approved for the award of the degree of Professional Doctorate. Including where the candidate has failed to effect such minor corrections as stipulated by the board of examiners and not to be approved for the award.

Outcomes PhD by Published Works

- **A:** That the student be approved for the degree of PhD by Published Works;
- **B:** That the student be approved for the degree of PhD by Published Works subject to the satisfactory completion of such corrections and amendments to the reflective analysis as may be required by the Examining Board. The Examining Board may stipulate that the corrections made shall be scrutinised by either or both examiners prior to the award process being initiated. Normally, corrections shall be completed within 12 weeks from the date of official notification to the student of the outcome of the examination;
- **C:** That the student be not approved for the degree of PhD by Published Works at this stage but that the student is allowed to modify the reflective analysis and re-submit it for examination for the degree of PhD by Published Works on one further occasion. The re-submission is to take place within a period not exceeding 6 months from the date of the official notification to the student of the outcome of the examination (this option is not available in the case of a student who has re-submitted a critical analysis for examination);
- **D:** That the student be not approved for the award of a degree. Including where the candidate has failed to effect such minor corrections as stipulated by the board of examiners and not to be approved for the award.

Outcomes MPhil

- **A:** That the student be approved for the degree of MPhil;
- **B:** That the student be approved for the degree of MPhil subject to the satisfactory completion of such corrections and amendments as may be required by the Examining Board. The Examining Board may stipulate that the corrections made shall be scrutinised by either or both examiners prior to the award process being initiated. Normally, corrections shall be completed within 6 months from the date of official notification to the student of the outcome of the examination;
- **C:** That the student be not approved for the degree of MPhil at this stage but that the student is allowed to modify the thesis and re-submit it for examination for the degree of MPhil on one further occasion. The re-submission is to take place within a period not exceeding 1 year from the date of the official notification to the student of the outcome of the examination (this option is not available in the case of a student who has re-submitted a thesis for examination);
- **D:** That the student be not approved for the award of the degree of MPhil. Including where the candidate has failed to effect such minor corrections as stipulated by the board of examiners and not to be approved for the award.

Outcomes for MRes/MA by Research/MSc by Research

Initial Report Outcomes

- **A:** That the student be approved for the degree of Master by Research (MRes) / Master of Arts by Research (MA) /

Master of Science by Research (MSc);

- **B:** That the student be approved for the degree of Master by Research (MRes) / Master of Arts by Research (MA) / Master of Science by Research (MSc) subject to the satisfactory completion of such corrections and amendments as may be required by the Examining Board. The Examining Board may stipulate that the corrections made shall be scrutinised by either or both examiners prior to the award process being initiated. Normally, corrections shall be completed within 12 working weeks from the date of official notification to the student of the outcome of the examination;
- **C:** That an oral examination is required in order to make a recommendation.

Outcomes following an Oral Examination

- **A:** That the student be approved for the degree of Master by Research (MRes) / Master of Arts by Research (MA) / Master of Science by Research (MSc);
- **B:** That the student be approved for the degree of Master by Research (MRes) / Master of Arts by Research (MA) / Master of Science by Research (MSc) subject to the satisfactory completion of such corrections and amendments as may be required by the Examining Board. The Examining Board may stipulate that the corrections made shall be scrutinised by either or both examiners prior to the award process being initiated. Normally, corrections shall be completed within 12 working weeks from the date of official notification to the student of the outcome of the examination.
- **C:** That the student be not approved for the degree of Master by Research (MRes) / Master of Arts by Research (MA) / Master of Science by Research (MSc) at this stage but that the student is allowed to modify the thesis and re-submit it for examination for the degree of Master by Research (MRes) / Master of Arts by Research (MA) / Master of Science by Research (MSc) on one further occasion. The re-submission is to take place within a period not exceeding 6 months from the date of the official notification to the student of the outcome of the examination (this option is not available in the case of a student who has re-submitted a thesis for examination);
- **D:** That the student be not approved for the award of the degree of Master by Research (MRes) / Master of Arts by Research (MA) / Master of Science by Research (MSc). Including where the candidate has failed to effect such minor corrections as stipulated by the board of examiners and not to be approved for the award.

For all awards, where corrections have been stipulated to be confirmed by one of the examiners or both of the examiners, and the relevant examiner(s) become unavailable then the corrections should normally be confirmed by the other examiner. Should both examiners become unavailable, RDC will confirm a new examination team to confirm the corrections.

Examination Board Reports and RDC Outcomes

The Examiners' Result and Report forms are intended as instruments for the reports of the examiners and the Chair of the Examining Board, and are used by the Examining Board to make a formal recommendation to the University on the outcome of the examination process. Examiners are advised that under the terms of the 1998 Data Protection Act and General Data Protection Regulation, students have the right to request access to any comments made about them in these reports.

Prior to any oral examination, both examiners will write and submit an independent report to the chair who will distribute them both before the viva.

The report must provide clear and informative feedback to the University on whether or not:

- the University is maintaining the threshold academic standards set for the award in accordance with the frameworks for Higher Education qualifications and applicable subject and other benchmark statements;
- the assessment process measures the student’s achievement rigorously and fairly against the intended outcomes of the programme and is conducted in line with the University's policies and regulations;
- and in the case of external examiners, the academic standard and the achievement of the student is comparable with those in other UK Higher Education Institutions of which the external examiner has experience.

The completed post-viva report must be submitted to the Doctoral College Office within a maximum period of 2 weeks after the date of the viva. Failure to submit the required reports within these timescales is considered a breach of the contract of the examiner.

After the Examination

At the end of the examination, where an oral examination has been held, the examiners are required to submit a joint report setting out their reasons for the recommendation to the chair. In the joint report examiners should explain in detail how the

student's work meets the requirements for originality and scholarship, or how it failed to do so.

Full instructions must be included of any changes required to the thesis, and these requirements must be made available to the student.

The recommendation must include an outcome available in the regulations. These outcomes cannot be adapted (e.g. the time period associated with a particular outcome cannot be changed).

The recommendation from the Examining Board is presented to RDC which has the following options:

- to approve the recommended outcome;
- to ask for further clarification
- in relation to a discrepancy between outcome and report, and/or
- in relation to the work to be done by the student (e.g. to request a more detailed report) and/or
- confirmation that the changes can be completed within the time period set by the regulations.
- to ask the Examining Board to consider the outcome again (e.g. when it seems to members of RDC that it will not be possible for the student to complete the required changes within the time period specified by the outcome);
- to reject the recommended outcome of the Examining Board and to restart the examining process with a new Examining Board.

Procedures for Reporting Serious Concerns

If examiners have a concern about standards and performance, particularly if it is considered that the assessment is being conducted in a way that jeopardises either the fair treatment of the student or the standard of the award, they should raise such concerns with the Chair of RDC and / or the Deputy Vice-Chancellor.

Where an external examiner has a serious concern relating to systemic failings with the academic standards of the assessment of a research award and has exhausted all applicable internal procedures, including the submission of a confidential report to the Vice-Chancellor, the external examiner may invoke QAA's concerns scheme or inform the relevant professional, statutory or regulatory body.

Responding to Research Degrees Examining reports

Research Degrees Examining reports are considered in detail at different levels within the institution. All Research Degrees Examining Board decisions are approved by RDC and all reports are scrutinised by RDC. Copies are distributed to the supervisory team and the Institute. Institutes are responsible for scrutinising all examining reports and for taking appropriate action where issues are identified.

Formal Notification of Outcome and Final Submission of Thesis

After RDC has approved an outcome, the student will be contacted by the Doctoral College office (usually electronically) to confirm the outcome of the examination and will be provided with a copy of the examination reports.

Following official confirmation of the award, the student must submit one electronic copy to the electronic repository to be stored in the University Library and National Library of Wales in accordance with instructions emailed to them by Registry.

Termination of an examiner appointment

The contribution of the examiner to the research degrees assessment process is a crucial element of the University's quality assurance processes. It is sometimes the case that, for a variety of reasons, an examiner is no longer able to provide the commitment necessary to fulfil the requirements of the role. In such an event, the matter will be referred to the Chair of RDC who will advise the examiner on the remedial action(s) considered necessary.

Exceptionally the Chair of the Examining Board may consider the actions or reporting of an examiner to be unreasonable, unfair, not in line with the requirements for the examining of research degrees, or contrary to the regulations of the University. In such cases they may refer their concerns to the Chair of RDC in writing. The Chair should then review the matter and make every effort to resolve the concerns in consultation with the external examiner, Chair of the Examining Board, and appropriate staff

from the University

Should it become apparent that, despite the remedial action(s) suggested by the Chair of RDC, the position is unlikely to change, or should it become evident that concerns, which have been raised cannot be resolved, then the matter shall be referred to a Deputy Vice-Chancellor who may make the decision that the examiner's appointment must be terminated.

The University also reserves the right to terminate an examiner appointment at any time if a conflict of interest arises that cannot be satisfactorily resolved. A new Examining Board must then be approved by RDC.

Fees For External Examiners

External Examiners are paid a set fee for examining a thesis (covering the preliminary independent examination of the thesis with interim report, the oral examination, the production of a final report, and scrutiny of any corrections and amendments where appropriate).

A separate set fee is paid in the case of a student being required to re-submit a thesis for examination (covering the preliminary independent examination of the resubmitted thesis with interim report, the oral examination, the production of a final report, and scrutiny of any corrections and amendments where appropriate).

All External Examiners are required to be set up on payroll as a temporary employee, in accordance with HMRC regulations. If an Examiner will be conducting the work in the UK then proof of their right to work in the UK must be presented and verified. If an Examiner will remain in the home country for all activities associated with the Examination then no proof of their right to work in the UK is required.

The Doctoral College Office will cover genuine receipted expenses incurred by the external examiner (for travel and subsistence) up to a maximum of £350.00. Institutes may wish to cover expenses in excess of this amount. There is no fee or allowance for expenses for Chairs or internal examiners (although Institutes may wish to contribute to expenses incurred where the oral examination is held at a location which is not the Chair's or internal examiner's normal work location).