

Version 3 - This version of the regulations applies to research degrees students enrolled FROM September 2014 onwards. For students enrolled BEFORE September 2014 please see Section G version 1 of these regulations.

# G

## REGULATIONS FOR THE AWARD OF THE UNIVERSITY'S DEGREES OF MASTER OF PHILOSOPHY, DOCTOR OF PHILOSOPHY AND DOCTOR IN AN AREA OF PROFESSIONAL PRACTICE

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### **G 1. INTRODUCTION**

G 1.1 This section of the regulations governs the award of the degrees of Doctor of Philosophy and Master of Philosophy.

G 1.2 The Research Committee of the Academic Board (hereinafter referred to as 'RC') acts on behalf of Academic Board in matters relating to the development, monitoring and review of the University's strategies and procedures relating to research degree candidates.

The RC acts on behalf of Academic Board on overseeing the monitoring of progress of research degree students undertaken by faculties and in matters relating to the registration and examination of research degree candidates.

G1.2.1 The Faculty Research Committee (hereinafter referred to as 'FRC') shall ensure that the University's regulations and procedures for research degrees are complied with and that regular reports on the monitoring and progress of research degree candidates are submitted to RC.

### **G 2. PRINCIPLES**

G 2.1 The University shall award the degrees of Doctor of Philosophy (PhD) and Master of Philosophy (MPhil) to registered candidates who successfully complete approved programmes of supervised research. Applications to register will be considered for the award of Doctor of Philosophy only, although the University may require a candidate to transfer to the award of Master of Philosophy at any stage in their progression (see section G 7).

G 2.2 Programmes of research may be proposed in any field of study subject to the requirements that the proposed programme is capable of leading to scholarly research, that the proposed programme is related to a research area in line with a faculty's specified area of research focus, and to its presentation for assessment by appropriate examiners. The written thesis may be supplemented by material in other than written form. All proposed research programmes shall be considered for research degree registration on their academic merits and without reference to the concerns or interests of any associated funding body.

Version 3 - This version of the regulations applies to research degrees students enrolled FROM September 2014 onwards. For students enrolled BEFORE September 2014 please see Section G version 1 of these regulations.

- G 2.3 The PhD shall be awarded to a candidate who, having critically investigated and evaluated an approved topic resulting in an independent and original contribution to knowledge and demonstrated an understanding of research methods appropriate to the chosen field, has presented and defended a thesis by oral examination (see section G 8 below) to the satisfaction of the examiners. Throughout the regulations where the term 'oral examination' is used it should be deemed to apply equally to an 'approved alternative examination'.
- G 2.4 The MPhil shall be awarded to a candidate who, having critically investigated and evaluated an approved topic and demonstrated an understanding of research methods appropriate to the chosen field, has presented and defended a thesis by oral or approved alternative examination (see section G 8. below), to the satisfaction of the examiners. Throughout the regulations where the term 'oral examination' is used it should be deemed to apply equally to an 'approved alternative examination'.
- G 2.5 The University shall encourage co-operation with industrial, commercial, professional or research establishments for the purposes of research leading to research degree awards. Such co-operation shall be intended:
- 2.5.1 to encourage outward-looking and relevant research;
  - 2.5.2 to extend the candidate's own experience and perspectives on the work;
  - 2.5.3 to provide a wider range of experience and expertise to assist in the development of the project;
  - 2.5.4 to be mutually beneficial; and,
  - 2.5.5 where appropriate, to enable the candidate to become a member of a research community.

Co-operation may be formalised with one or more bodies external to the University. For the purpose of the research degrees regulations these bodies shall be referred to as Collaborating Establishments. Formal collaboration shall normally involve the candidate's use of facilities and other resources, including supervision, which are provided jointly by the University and the Collaborating Establishment.

In such cases a formal letter from the Collaborating Establishment confirming the agreed arrangements should be submitted with the application, except where collaboration is an integral part of the project (as for instance with NERC/SERC CASE awards). The name(s) of the Collaborating Establishment(s) shall appear on the candidate's thesis and degree certificate.

In cases where the candidate's research project is supported by an external

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establishment in terms of access to data/resources only, then this will not be classed as a formal Collaborating Establishment, but will be classed as a supporting establishment. In such cases a letter of support from the establishment concerned should be provided with the application, but the name of the supporting establishment will not appear on the candidate's thesis or degree certificate.

G 2.6 Registration is the process through which the University approves a research degree candidate's proposed research programme. Registration may only take place following approval by the FRC of the following:

2.6.1 the suitability of the candidate to undertake research;

2.6.2 the programme of research; and

2.6.3 the supervision arrangements and research facilities.

Since this approval requires appropriate academic judgement to be brought to bear on the viability of each research proposal, the FRC shall include persons who are or have recently been engaged in research and who have appropriate experience of successful research degrees supervision and of examining for research degrees. The FRC shall also include at least one person representing another faculty to ensure breadth of research experience and knowledge.

G 2.7 In order to ensure that research degrees awarded by the University are comparable in standard with those of other Higher Education institutions, the University will seek to secure membership of the RC and FRCs by individuals with appropriate experience of supervisory procedures operated by other universities and of research degree examinations conducted within other Universities. In addition, faculties will be encouraged to involve colleagues from other institutions in the supervision of candidates.

### **G 3. APPLICATION AND QUALIFICATIONS FOR REGISTRATION**

G 3.1 An applicant may apply to register for the degree of:

3.1.1 Doctor of Philosophy (PhD), or

3.1.2 Doctor in an Area of Professional Practice

The University does not register candidates for Master of Philosophy (MPhil) directly, although a student who has initially been registered for PhD may subsequently be registered for MPhil as a result of the outcomes of the University's procedures for research student progress review (see section G7).

G 3.2 Applications to register for a research degree must be considered by the FRC of the relevant Faculty. In proposing to FRC an application for registration, the Faculty shall satisfy itself that:

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- 3.2.1 the candidate is suitably qualified and holds an English language qualification which meets the University's entry requirements for international students (see section G3.5 below and the Higher Degrees by Research Handbook);
- 3.2.2 the candidate is embarking on a viable research programme;
- 3.2.3 supervision is adequate, meets regulatory requirements and likely to be sustained; and
- 3.2.4 the University is able to provide appropriate facilities for the conduct of scholarly research in the area of the research programme.

G 3.4 Applications to register are considered by the relevant FRC before an offer to study is made to an applicant. Registration is formally confirmed on subsequent enrolment as a research degree student. All new research students will also be enrolled on the University's Postgraduate Certificate in Research Practice (PG Cert), unless the relevant Faculty has assessed an existing qualification as being equivalent through the University's procedures for accreditation of prior learning.

G3.5 The Faculty will seek academic references for candidates and may seek advice from an independent expert on the viability of the proposed research.

### G 3.5 **Competence in English Language**

G 3.5.1 The FRC shall satisfy itself that the candidate has sufficient command of the English language to complete satisfactorily the programme of work and to prepare and defend a thesis in English.

G 3.5.2 Where the applicant's first language is not English, they will be required to fulfil the following conditions in order to provide evidence that they have a sufficient knowledge of both written and spoken English, as follows:  
Applicants for admission to a programme leading to a research degree award of the University must, before they can be admitted to the University, provide evidence that they have attained normally at least a band score of 6.5 (with not less than 6.0 in any component) in the British Council IELTS or equivalent qualifications, which have been approved by the University. Some Faculties / Schools may require English language qualifications above this stipulated minimum.

G 3.5.3 Minimum standards for entry to higher degrees, together with a list of recognised tests such as IELTS, will be approved by Senate.

### G 3.6 **Qualifications for Registration**

3.6.1 An applicant for registration shall normally hold a minimum of a first or second class Honours degree awarded by a University in the UK (or an overseas degree of equivalent standard), in a discipline which is appropriate to the

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proposed research.

3.6.2 In the case of some research degree programmes, for example those which are funded by particular research councils, an applicant for registration for the degree of PhD may additionally be required to hold a relevant Masters degree awarded by a University in the UK, or an overseas Master's degree of equivalent standard.

3.6.3 Applicants whose work forms part of a larger group project may register for a research degree. In such cases each individually registered project shall in itself be distinguishable for the purposes of assessment and be appropriate for the award being sought. The application shall indicate clearly each individual contribution and its relationship to the group project.

3.6.4 Where a research degree project is part of a piece of funded research, the FRC shall establish to its satisfaction that the terms on which the research is funded do not detract from the fulfilment of the objectives and requirements of the candidate's research degree.

3.6.5 The FRC may approve an application from a person proposing to work outside the UK, provided that:

there is satisfactory evidence as to the facilities available for the research both in the University and abroad;

the arrangements proposed for supervision enable frequent and substantial contact between the candidate and the supervisor(s) based in the UK, including adequate face-to-face contact with the supervisor(s);

a supervisor resident in the candidate's country of domicile and approved by the FRC is appointed.

A statement of the supervisory arrangements must be included on the application form when submitted to the FRC.

#### **G 4. THE REGISTRATION PERIOD**

G 4.1 The maximum periods of registration shall be as follows:

	<b>PhD</b>	<b>MPhil</b>
full-time	4 years	2 years
part-time	7 years	3 years

G 4.2 A full-time candidate shall be expected to reach the standard for PhD within three years of registration, with a maximum of 4 years permitted. A part-time candidate shall be expected to reach the standard for PhD within 4 years of registration, with a maximum of 7 years permitted.

G 4.3 Where a research degree candidate's registration is, following a progress

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review, transferred to that of Master of Philosophy (please refer to section G 7 below), the maximum period of registration shall be 2 years from the point of transfer (if the transfer occurred in the candidate's first year of registration) or shall be a maximum of 1 year (if the transfer occurred thereafter).

G 4.4 Where a candidate changes from full-time to part-time study or vice versa, the maximum registration period shall be calculated as if he/she were a part-time candidate (noting that FT years elapsed would count as pro rata PT years, allowing a maximum of 2 additional years of PT registration following 3 years of FT registration). Notification of such a change shall be made on the appropriate form to the FRC and RC shall receive regular summary reports from FRC which shall include any changes of mode of study.

G 4.5 Where a student has formally interrupted his or her studies, the period of interruption of study will not be included in the student's registration period for the purposes of calculating his or her maximum period of registration under these regulations.

G 4.6 In order to remain registered as a research degree candidate, the candidate must enrol as a student of the University each year and pay the relevant tuition fees. Continuation of registration is subject to satisfactory progress and at least once a year the RC shall receive reports from FRCs on the progress of the Faculty's research students.

G 4.7 **Changes to Registered Research Degree Programme**

A candidate seeking a change to his or her registered programme of work shall apply in writing to the Faculty for subsequent approval by the FRC.

G 4.8 **Absence for Research Field Work**

In appropriate circumstances a candidate for a research degree (who is a full-time student) may undertake a limited amount of research away from the University, either on approved fieldwork or in approved academic institutions or scientific, clinical or industrial locations, whilst remaining under the direction of the University. Permission to spend between 21 days and 6 months studying outside the University during the period of study determined under paragraph 5.1 above will be at the discretion of the FRC; periods in excess of this must be approved by the relevant committee unless specified in the prescribed programme of study.

Detail of any authorised absence must be recorded and reported in the faculty and with Academic Registry in line with the University's Authorised Absence Procedure.

G 4.9 **Suspension of Registration**

Where the candidate is prevented by good and valid cause from making progress with the research, the registration may be suspended by the FRC,

Version 3 - This version of the regulations applies to research degrees students enrolled FROM September 2014 onwards. For students enrolled BEFORE September 2014 please see Section G version 1 of these regulations.

normally for not more than one year at a time. A candidate seeking a suspension of registration should apply on the appropriate form to the FRC. The RC shall receive regular summary reports on suspensions of registration.

Financial hardship will not normally be accepted as a valid reason for suspension.

A candidate may apply for a suspension of six months and a maximum of 12 months at any one time. Only two periods of suspension may be applied for and no more than a total of 12 months suspension will normally be approved.

#### **G 4.10 Extension of Registration**

The FRC may, exceptionally extend a candidate's period of registration, normally for not more than one year at a time. A maximum extension of six months only may be applied for initially, but a further application may be made up to a maximum of 12 months in total. A candidate seeking such an extension shall apply on the appropriate form to the FRC. The RC shall receive regular summary reports on extensions to registration.

#### **G 4.11 Withdrawal of Registration**

Where a candidate has discontinued the research, the withdrawal of registration shall be notified to the Faculty on the appropriate form. The RC shall receive regular summary reports on withdrawals of registration.

G 4.12 A candidate shall pay such fees as may be determined from time to time by the University. The University retains the right to withdraw the registration of any candidate who has not paid the required fees.

G 4.13 The University reserves the right to terminate the registration of a candidate who has neglected their studies, fails to meet deadlines and/or required standards, or who has contravened the University's Handbook for Research Degrees, responsibilities set out in this document or University regulations. A candidate may appeal against termination of their registration through the University's Appeals Procedure for Research Degree Students.

### **G 5. DURING THE PERIOD OF RESEARCH DEGREE REGISTRATION**

#### **G 5.1 Programme of Related Studies**

A candidate shall follow a programme of related studies where this is necessary for the attainment of competence in research methods and of knowledge related to the subject of the thesis. This programme shall be intended:

5.1.1 to provide the candidate with the skills and knowledge necessary for the pursuit of the proposed research;

Version 3 - This version of the regulations applies to research degrees students enrolled FROM September 2014 onwards. For students enrolled BEFORE September 2014 please see Section G version 1 of these regulations.

5.1.2 to provide a body of knowledge normally associated with a degree in the field of study of the proposed research; and

5.1.3 to provide breadth of knowledge in the related subjects.

Where the programme of related studies includes an approved programme of studies leading to another award and a candidate is registered for that programme and fulfils all its requirements, he/she may be recommended for that award in addition to the degree of PhD or MPhil (see also paragraph G 4.9 below).

## **G 5.2 Creative Work as a Significant Part of the Research Programme**

A programme of research may be undertaken in a field which allows the candidate to submit evidence of creative achievement as well as academic evidence. Thus a candidate may undertake a programme of research in which the candidate's own creative work forms, as a point of origin or reference, a significant part of the intellectual enquiry. Such creative work may be in any field (for instance, fine art, design, engineering and technology, architecture, creative writing, musical composition, film, dance and performance), but shall have been undertaken as part of the registered research programme. In such cases, the presentation and submission may be partly in other than written form, provided that the elements are mutually supportive.

The creative work shall be set in its relevant theoretical, historical, critical or design context. The submission itself shall conform to the usual scholarly requirements and be of an appropriate length (see paragraph G 11.9 below). It could provide, for example, a commentary upon the structure of the creative work and an exposition of the methods employed. The final submission shall include a permanent record (for instance, video, photographic record, musical score, and diagrammatic representation) of the creative work, where practicable, bound with the thesis (see paragraph G 11.13. below).

The Year 1 progression panel (see section G 7) shall set out the form of the candidate's intended submission and of the proposed methods of assessment.

## **G 5.3 Ethical considerations**

Any ethical considerations relating to the proposed programme of research will be detailed by candidates in the application to register the research degree and must be approved by FRC. This will include any ethical approval that has been sought/obtained at faculty level or by external bodies (where appropriate)

In a case where a research programme requires external ethical approval and where the external body requires that the programme of research is approved by the University prior to this being sought, then the FRC may approve (where appropriate) the programme of research subject to the requisite external

Version 3 - This version of the regulations applies to research degrees students enrolled FROM September 2014 onwards. For students enrolled BEFORE September 2014 please see Section G version 1 of these regulations.

ethical approval subsequently being granted. In such a case, the candidate must provide evidence to the FRC that this ethical approval has been granted within 6 months of the research registration.

In cases where ethical approval has not been confirmed after 6 months, the matter will be referred back to FRC. Depending on the circumstances of the particular case FRC may agree to an extension to the period for confirming ethical approval or may require that the candidates' registration be withdrawn.

#### **G 5.4 Preparation of Scholarly Edition**

A candidate may undertake a programme of research in which the principal focus is the preparation of a scholarly edition of a text or texts, musical or choreographic work, or other original artefacts.

The final submission shall include a copy of the edited text(s) or collection of artefact(s), appropriate textual and explanatory annotations, and a substantial introduction and critical commentary which set the text in the relevant historical, theoretical or critical context.

The thesis itself shall conform to the usual scholarly requirements and be of an appropriate length (see paragraph G 10.8 below).

#### **G 5.5 Integrated Programmes of Work**

A candidate for a PhD may undertake an integrated programme of work which, as well as the research element, shall include a programme of postgraduate study on which his/her performance shall be formally assessed. Such a programme of study shall not occupy more than one third of the total period of registration and shall complement the research.

#### **G 5.6 Mode of Study**

A candidate may register on a full-time or a part-time basis. A full-time candidate shall normally devote on average at least 35 hours per week to the research, a part-time candidate on average at least 12 hours per week.

#### **G 5.7 Concurrent Registration**

The FRC may permit a candidate to register for another programme of study, other than an approved programme of related studies, concurrently with the research degree registration, provided that either the research degree registration or the other programme of study is by part-time study and that, in the opinion of the FRC, the dual registration will not detract from the research. The FRC will not permit concurrent registration on a third programme of study while a research degree candidate remains enrolled on the University's PG Certificate in Research Practice.

#### **G 5.8 Confidential Research**

Version 3 - This version of the regulations applies to research degrees students enrolled FROM September 2014 onwards. For students enrolled BEFORE September 2014 please see Section G version 1 of these regulations.

Where a candidate, the University or a collaborating establishment wishes the thesis to remain confidential for a period of time after completion of the work, application for approval shall normally be made to the RC. The period approved shall not exceed, normally, two years from the date of the oral examination. The RC is only likely to approve an application for confidentiality in order to enable a patent application to be lodged or to protect commercially or politically sensitive material. Theses may not be restricted in this way in order to protect research leads. While the normal maximum period of confidentiality is 2 years, in exceptional circumstances the RC may approve a longer period.

## **G 6. SUPERVISION**

G6.1 Each programme of supervised research arranged by the University is the overall responsibility of the Faculty's Associate Dean with responsibility for Research. Where two or more Faculties contribute to a programme of supervised research, the Associate Dean with responsibility for Research exercises this in consultation with the other Associate Deans/Heads of Schools concerned. The arrangements made for the resourcing, conduct and management of each programme of supervised research are subject to scrutiny and approval by the relevant FRC

G 6.2 A research degree candidate shall have at least two and normally not more than three supervisors.

G 6.3 Each supervisory team shall contain experience of supervising candidates to successful completion of a UK research degree. A supervision team shall normally have had a combined experience of supervising not fewer than two candidates to successful completion. In the case of a PhD, at least one of the supervisory team shall normally have successfully supervised at PhD level.

G 6.3.1 In cases where a proposed team of supervisors do not have a combined experience of supervising two candidates to successful completion, the FRDEC may agree to approve the proposed supervision arrangements on a number of strict conditions:

- the members of the supervision team have experience of supervising research dissertations at a lower level (e.g. masters);
- the members of the supervision team have completed an appropriate doctoral supervisory course;
- the supervisory team is supported by a designated experienced supervisory mentor:
  - the supervisors and mentor are members of the same doctoral supervisory community of practice which meets regularly;
  - the mentor provides a report on supervision arrangements as part of the annual progress review of the doctoral research.

Version 3 - This version of the regulations applies to research degrees students enrolled FROM September 2014 onwards. For students enrolled BEFORE September 2014 please see Section G version 1 of these regulations.

The arrangement must be reapproved annually until such time as the supervisory team meets the normal requirements set out in 6.3 above.

- G 6.3.2 Before commencing supervisory responsibilities all postgraduate research degree supervisors will have completed an appropriate doctoral supervisory course and become members of a doctoral supervisory community of practice.
- G 6.4 One supervisor shall be the Director of Studies (first supervisor) with primary responsibility for supervising the candidate on a regular and frequent basis and for the candidate's academic progression
- G 6.5 At least one (and not more than two) further supervisor(s) shall be appointed to the supervisory team. The Second Supervisor will normally have primary responsibility for providing pastoral advice to the student in addition to providing academic advice.
- G 6.6 In addition to the supervisors, an adviser or advisers may be proposed to contribute some specialised / technical knowledge or a link with an external organisation.
- G 6.7 A candidate for a research degree shall be ineligible, normally, to act as Director of Studies for another research degree candidate but may act as a second supervisor or adviser. Exceptionally, however, the FRC may approve such an appointment where it can be demonstrated beyond doubt that the individual concerned has the expertise and competence to act as Director of Studies and that the individual's own candidacy will not compromise his or her ability to fulfil that role adequately.
- G 6.8 A proposal for a change in supervision arrangements shall be made to the FRC on the appropriate form. The RC shall receive regular summary reports on any changes to supervisory arrangements.

## **G.7 PROGRESSION AND MONITORING**

- G 7.1 A formal review of research candidate progress will be undertaken every six months, commencing six months after the student's initial registration.

Detail of the nature and purpose of these specific reviews are shown in the table below:

<b>Review</b>	<b>Timing of Review (regardless of mode of study)</b>	<b>Primary Purpose</b>	<b>Potential Outcome/s</b>
<b>Initial</b>	No later than <b>6 months post registration.</b>	To review induction, progress on the PG Cert Research Practice and other training needs.	Satisfactory. At Risk.

Version 3 - This version of the regulations applies to research degrees students enrolled FROM September 2014 onwards. For students enrolled BEFORE September 2014 please see Section G version 1 of these regulations.

<b>Progression Assessment Panel</b>	No later than <b>12 months post registration.</b>	Review research progress and confirm, or otherwise, registration of PhD. Research paper submitted to progression assessment panel and examined via <i>viva voce</i> with candidate.	Satisfactory – proceed with PhD.  Proceed At Risk.  Revise registration to MPhil.  Withdraw.
<b>Interim / Regular</b>	<b>At months 18, 24 and 30</b> (and thereafter if registration was suspended or extended).	To review research progress and confirm, or otherwise, registration of PhD.	
<b>Final</b>	No later than <b>6 months prior to expected registration end date.</b>	To assess readiness for thesis submission	Progress to Submission.  Proceed At Risk.  Revise registration to MPhil.  Withdraw.

- G 7.2 For each research degree candidate, all reviews, with the exception of the Progression Assessment Panel (see paragraph 7.3 below) will be undertaken by the candidate's supervisory team, and will follow the procedures and deploy templates as detailed in the Handbook for Research Students.
- G 7.3 For each research degree candidate, the FRC shall appoint three or more persons to fulfil the role of a Progression Assessment Panel, The Progression Assessment Panel meet in accordance with the timetables outlined by Senate, and determine student progress in line with guidance provided by Senate.
- G 7.4 The Faculty's Associate Dean with responsibility for Research, (or nominated Director of Research Degrees) is normally a member of the Progression Assessment Panel; where this person also happens to be a member of the candidate's supervisory team, then an alternative nominee shall be appointed. Other members are normally independent of the student's day-to-day management and study, but will be experienced in the supervision of research degrees in the candidate's field of study.

Version 3 - This version of the regulations applies to research degrees students enrolled FROM September 2014 onwards. For students enrolled BEFORE September 2014 please see Section G version 1 of these regulations.

G 7.4.1 The Progression Assessment has two components:

- (a) A research paper submitted by the candidate.  
The candidate will submit a paper of between 3,000 – 6,000 words in length drawn from their research to date. It will be based on the appropriate template as detailed in the Handbook for Research Students and should contain some reflection on the research process and detail of the current and proposed methodology/ies. The paper must also be appropriately referenced and detail the experience of the supervisory team and facilities available for the study.
- (b) A *viva voce* examination.  
The *viva voce* will permit the Progression Assessment Panel to discuss in depth the research with the candidate and any issues that may arise from it. The Progression Assessment Panel may request that the student presents the research papers orally as well as in writing.

G 7.5 The primary responsibilities of the Progression Assessment Panel shall include:

- 7.5.1 receiving the candidate's Progression Assessment Report (see paragraph 7.4.1) and assessing this via *viva voce* with the candidate, to assess the candidate's suitable progress through his / her research programme and to confirm, or otherwise, the registration on the award of PhD.
- 7.5.2 recommending to the relevant FRC whether or not the student should remain registered on his/her intended degree, and advising on whether the scheduled registration period remains appropriate;
- 7.5.3 producing any formal Progression Assessment Panel documentation in line with University procedures;
- 7.5.4 attending relevant School and Faculty committees as required.

G 7.6 The Progression Assessment Panel is entitled to receive and ask for evidence from the candidate, from the Supervisor/s and from other persons providing learning support to the candidate to determine whether or not the candidate is making appropriate academic progress. The Progression Assessment Panel reports to the relevant FRC on the progress of individual candidates and recommends corresponding changes to registration.

G.7.7 The FRC is responsible for giving appropriate scrutiny to the review reports from all types of postgraduate research review. Where the FRC has concerns about the progress of particular students, these should be referred to the Faculty's Associate Dean with responsibility for Research for resolution. Where necessary, the Faculty's Associate Dean with responsibility for Research should refer to the Director of Studies and/or

Version 3 - This version of the regulations applies to research degrees students enrolled FROM September 2014 onwards. For students enrolled BEFORE September 2014 please see Section G version 1 of these regulations.

candidate as appropriate before advising on an appropriate course of action. In the event that the Faculty's Associate Dean with responsibility for Research is a member of the candidate's supervisory team then the Deputy Vice Chancellor Research, Enterprise and Business Engagement should be consulted instead.

G 7.8 The Faculty's Associate Dean with responsibility for Research is expected to oversee the procedures for annual monitoring and to provide annual reports to the RC on the outcomes of the Faculty's monitoring of postgraduate research provision. This will include analysis of admission, progression and completion information for postgraduate research candidates as well as identification of areas of good practice and of any areas of concern. The report compiled by the Associate Dean with responsibility for Research should be considered and approved by FRC and Faculty Academic Board before being submitted to the RC.

## **G 8. EXAMINATIONS - GENERAL**

G 8.1 The examination for the award of PhD or MPhil shall have two stages: firstly the submission and preliminary assessment of the thesis and secondly its defence by oral examination.

G 8.2 A candidate whose programme of work includes formally assessed course work in a programme of work leading to the degree of PhD (see paragraph G 5.5 above) shall not be permitted to proceed to a further stage of the examination for the degree until the course work examiners are satisfied with the candidate's performance. The result of the assessment shall be communicated to the examiners of the thesis by the Doctoral Research College.

G 8.3 The Faculty will make arrangements for the candidate to undergo a preparative (or 'mock') *viva voce* examination in advance of the planned *viva voce* examination.

G 8.4 The oral examination will be chaired by a member of University academic staff who is independent of the candidate, has experience in the supervision and examination of research degrees and an understanding of the University's research degree regulations and policies. The chair may be nominated by the FRC from a Faculty other than that in which the candidate's study is located.

G 8.5 A candidate shall be examined orally on the programme of work and on the field of study in which the programme lies. However, where for reasons of sickness, disability or comparable valid cause the FRC is satisfied that a candidate would be under serious disadvantage if required to undergo an oral examination, an alternative form of examination may be approved by the FRC and ratified by the Deputy Vice Chancellor , Research, Enterprise and Business Engagement.

Version 3 - This version of the regulations applies to research degrees students enrolled FROM September 2014 onwards. For students enrolled BEFORE September 2014 please see Section G version 1 of these regulations.

Such approval shall not be given on the grounds that the candidate's knowledge of the language in which the thesis is presented is inadequate.

- G 8.6 An oral examination shall normally be held in the UK. In special cases the RC may give approval for the examination to take place abroad.
- G 8.7 A supervisor may, with the consent of the candidate, attend the oral presentation as an observer but must withdraw prior to the deliberations of the examiners on the outcome of the examination.
- G 8.8 The Deputy Vice Chancellor, Research, Enterprise and Business Engagement, shall make a decision on the reports and recommendation(s) of the examiners in respect of the candidate.
- G 8.9 The degree of MPhil or PhD may be awarded posthumously on the basis of a thesis completed by a candidate which is ready for submission for examination.
- G 8.10 Where evidence of cheating or plagiarism in the preparation of the thesis or other irregularities in the conduct of the examination come to light subsequent to the recommendation of the examiners, the RC shall consider the matter, if necessary in consultation with the examiners, and take appropriate action in accordance with the procedures defined in Part II of the University's Academic Regulations and Policies
- G 8.11 The FRC shall ensure that all examinations are conducted, and the recommendations of the examiners are presented, wholly in accordance with the University's regulations. In any instance where the FRC is made aware of a failure to comply with all the procedures of the examination process, it may declare the examination null and void and appoint new examiners.

## **G 9. EXAMINATION PROCEDURES**

- G 9.1 The Faculty shall propose on the appropriate form the arrangements for the candidate's examination to the FRC for approval (see section G 12 below) and the arrangements should also be considered by Academic Registry to approve compliance with regulatory and policy issues. This should be done not less than three months before the expected date of the examination. The examination may not take place until the examination arrangements have been approved. In special circumstances the FRC may act directly to appoint examiners and arrange the examination of a candidate.
- G 9.2 The Doctoral Research College shall make known to the candidate the procedure to be followed for the submission of the thesis (including the number of copies to be submitted for examination) and any conditions to be satisfied before the candidate may be considered eligible for examination.
- G 9.3 The Doctoral Research College shall notify the candidate, all supervisors and the examiners of the date of the oral examination.

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G 9.4 The Doctoral Research College shall send a copy of the thesis to each examiner, together with the examiner's preliminary report form, the guidance notes for examiners and the University's regulations, and shall ensure that the examiners are properly briefed as to their duties.

G 9.5 The Doctoral Research College shall ensure that all the examiners have completed and returned the preliminary reports to the University before the oral examination takes place.

#### **G 10. THE CANDIDATE'S RESPONSIBILITIES IN THE EXAMINATION PROCESS**

G 10.1 The candidate is required to present an Intention to Submit form approximately 6 months prior to the anticipated thesis submission date / end of registration date.

G 10.2 The candidate shall ensure that the thesis is submitted to the Doctoral Research College before the expiry of the registration period. The candidate is responsible for ensuring that the thesis complies with the University's regulations.

G10.3 The submission of the thesis for examination shall be at the sole discretion of the candidate, although supervisors will provide advice and guidance. While a candidate would be unwise to submit the thesis for examination against the advice of their supervisors, it is their right to do so. Conversely, candidates should not assume that supervisors' agreement to submission guarantees a successful outcome.

G 10.4 The candidate shall satisfy any conditions of eligibility for examination required by the regulations.

G 10.5 The candidate shall take no part in the arrangement of the examination and shall have no formal contact with the examiner(s) between the appointment of the examiners and the oral examination / conferment of award..

#### **G 11. SUBMISSION OF THESIS FOR EXAMINATION**

G 11.1 The candidate shall confirm, through the submission of a declaration form that the thesis has not been submitted for a comparable academic award. A candidate shall not be precluded from incorporating, in a thesis covering a wider field, work which has already been submitted for a degree or comparable award, provided that it is indicated on the declaration form, and also in the thesis, which work has been so incorporated.

G 11.2 The candidate shall ensure that the thesis format is in accordance with the requirements of the University's regulations. Theses may be submitted for examination in a temporarily bound form such as spiral binding which is sufficiently secure to ensure that pages cannot be added or removed. A thesis submitted in a temporarily bound form shall be in its final form in all respects

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save the binding. The requirements for submission of the thesis after the award has been confirmed are set out in section G16.

- G 11.3 The thesis must be presented in English.
- G 11.4 The thesis must include a statement of the candidate's objectives and must acknowledge published or other sources of material consulted (including an appropriate bibliography) and any assistance received.
- G 11.5 There shall be an abstract (of approximately 300 words) bound into the thesis which provides a synopsis of the thesis stating the nature and scope of the work undertaken and of the contribution made to the knowledge of the subject treated.
- G 11.6 Where a candidate's research programme is part of a collaborative group project, the thesis must indicate clearly the candidate's individual contribution and the extent of the collaboration.
- G 11.7 The copyright of the thesis is normally vested in the candidate. Any variation must be codified in a written agreement and must be notified to the FRC at the time of initial application.
- G 11.7 The candidate is free to publish material in advance of the thesis but reference must be made to any such work in the thesis. Copies of published material should either be bound in with the thesis or placed in an adequately secured pocket at the end of the thesis.
- G 11.8 While theses are normally in A4 format, the FRC may give permission for a thesis to be submitted in another format where it is satisfied that the contents of the thesis can be better expressed in that format. However, candidates using a format larger than A4 should note that the production of microfiche copies and full-size enlargements may not be feasible.
- G 11.9 The text of the thesis should not normally exceed the following length (excluding ancillary data):
- |           |              |
|-----------|--------------|
| for MPhil | 40,000 words |
| for PhD   | 80,000 words |
- This maximum shall be reduced in certain study areas which require the submission of extensive ancillary data, or where the thesis includes material in other than written form (see paragraph G 5.2 above), or where the research involves creative writing or the preparation of a scholarly edition (see paragraph G 5.4 above).
- G 11.10 At least three copies of the thesis are normally required for examination. The number of copies must be sufficient for each of the examiners plus the Independent Chair. Further guidance is available in the Handbook for Research Students.

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G 11.11 Where the FRC has agreed that the confidential nature of the candidate's work is such as to preclude the thesis being made freely available in the library of the University (and Collaborating Establishment, if any) and in the case of a PhD, the British Library, the thesis shall, immediately on completion of the programme of work, be held by the University on restricted access and only be available to those who were directly involved in the project for a time not exceeding the approved period (see paragraph G 5.8 above).

G11.12 The candidate is required to check the text-based components of their thesis, prior to submission for assessment, using a plagiarism detection service which is approved by the University. It is an essential requirement that a paper copy of the plagiarism detection report, signed by the researcher and their supervisors, accompanies the hard copy version of the thesis which is submitted for assessment.

G11.13 The Thesis must conform to the requirements listed below:

G11.13.1 Copies of the thesis shall be presented in a permanent and legible form either in typescript or print. Where copies are produced by any photocopying processes, these must be of a permanent nature. Where word processor and printing devices are used, the printer must be capable of producing text of a satisfactory quality.

G11.13.2 The thesis may be printed on one side of the paper or on both sides of the paper. Where both sides of the paper are used, the paper must be sufficiently thick to avoid show through.

G11.13.3 Double or one-and-a-half spacing must be used in typescript except for indented quotations or footnotes where single spacing may be used.

G11.13.4 The title page of every volume shall give the following information.

- (a) the full title of the thesis and any subtitle;
- (b) the full name of the author;
- (c) the award for which the degree is submitted in partial fulfilment of its requirements;
- (d) that the degree is awarded by Birmingham City University;
- (e) the Faculty in which the research was conducted and the Collaborating Establishment, if any;
- (f) the month and year of submission. (In the case of a resubmission, the date of original submission applies).

A specimen title page is provided at Appendix 1.

Where a candidate submits creative work (see G 5.2 above) that cannot be bound into the thesis or stored in a pocket attached to the inside back cover of

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the thesis, then the material should be gathered into another volume and stored in a rigid container of the same size and colour as that of the bound thesis.

## **G 12. EXAMINERS**

G 12.1 A candidate shall initially be examined by at least two and normally not more than three examiners, of whom at least one shall be an external examiner. In the case of a re-examination, an additional external examiner may be appointed (see regulations G13.10, G14.2 and G14.11).

G 12.2 An internal examiner shall be defined as an examiner who is:

12.2.1 a member of staff of the University; or

12.2.2 a member of staff of the candidate's Collaborating Establishment.

G 12.3 A candidate's supervisor may not be proposed as an internal examiner. Where there are two external examiners, only one internal examiner may be proposed.

G 12.4 Examiners shall be experienced in research in the general area of the candidate's thesis and, where practicable, have experience as a specialist in the topic(s) to be examined.

G 12.5 When proposing an examining team for approval by the FRC, a Faculty will take into account the research degree examining experience of all proposed external and internal examiners. It is expected that there will be an appropriate balance of experience across the examining team. If an internal examiner with minimal experience is proposed, an additional experienced examiner (external or internal) should be proposed.

At least one external examiner shall normally have had experience of examining two or more research degree candidates. In cases where it is impossible to secure the services of an external examiner with both the relevant subject expertise and experience of examining two research degree candidates, the FRC may waive the latter requirement in the case of MPhil examinations, provided it is satisfied that sufficient examining experience exists within the team of examiners. In an examination for PhD, at least one external examiner shall have had experience of examining two or more PhD candidates.

G 12.6 An external examiner shall be independent both of the University and of the Collaborating Establishment and shall not have acted previously as the candidate's supervisor or adviser. An external examiner shall normally not be a supervisor of another candidate in the same department at the University.

The FRC shall seek to ensure the independence of the external examiner(s) and ensure that the same external examiner is not approved so frequently that his/her familiarity with the department might prejudice objective judgement.

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G 12.7 No candidate for a research degree shall act as an examiner.

### **G 13. EXAMINATION OF THE THESIS**

G 13.1 The examination shall be held in two parts:

13.1.1 the examiners' scrutiny of the thesis, and

13.1.2 the candidate's defence of the thesis, by oral examination.

#### **G 13.2 The Examiners' Preliminary Scrutiny of the Thesis**

13.2.1 Each examiner shall read and examine the thesis and submit on the appropriate form an independent preliminary report on it to the Doctoral Research College before any oral examination is held. In completing the preliminary report, each examiner shall consider whether the thesis provisionally satisfies the requirements of the degree (as set out in paragraphs G 2.3 and G 2.4 above) and where possible make an appropriate provisional recommendation subject to the outcome of any oral examination.

13.2.2 Once the candidate has submitted the thesis to Academic Registry for examination, the examination process must be completed.

#### **G 13.3 The Oral Examination**

Following the oral examination the examiners shall, where they are in agreement, submit on the appropriate form a joint report and recommendation relating to the award of the degree to the Doctoral Research College. The preliminary reports and joint recommendation of the examiners shall together provide sufficiently detailed comments on the scope and quality of the work to enable the FRC to satisfy itself that the recommendation is appropriate.

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

The oral examination will take place on University premises unless alternative arrangements have been approved by FRC. It is expected that the candidate and examiners will normally be present at the University for the viva. However, the participation of the student or an examiner remotely may be permitted by FRC in exceptional circumstances. In such cases the proposed arrangements for remote attendance must be approved by FRC.

#### **G 13.4 The Recommendation of the Examiners**

Following the completion of the examination the examiners may recommend that:

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- 13.4.1 the candidate be awarded the degree;
  - 13.4.2 the candidate be awarded the degree subject to minor amendments being made to the thesis (see paragraph G 13.6 below);
  - 13.4.3 the candidate be awarded the degree subject to major amendments being made to the thesis (see paragraph G 13.7 below);
  - 13.4.4 the candidate be not awarded the degree but be permitted to re-submit for the degree and be re-examined, with or without an oral examination (in the case of a PhD examination the candidate may elect to be re-examined for the award of an MPhil. Such a candidate will be required to confirm in writing that he/she agrees to waive the right to be re-assessed for the award of PhD); (see paragraph 13.8 below)
  - 13.4.5 In the case of a PhD examination the candidate be not awarded the degree of PhD but be invited to submit for the award of MPhil. The examiners may recommend that the degree of MPhil be awarded subject to the presentation of the thesis amended to the satisfaction of the examiners. The candidate must confirm in writing his/her agreement to waive the right to be re-assessed for the award of a PhD provided under G 13.4.3 above. (see paragraph 13.8 below)
- G13.5 Following the oral examination the Independent Chair may indicate informally the examiners' recommendation on the result of the examination to the candidate but they shall make it clear that the recommendations are submitted to the Deputy Vice Chancellor Enterprise and Business Engagement who is responsible for final decisions on research degree awards.
- G13.6 Where the examiners are satisfied that the candidate has in general reached the standard required for the degree, but consider that the candidate's thesis requires some minor amendments and corrections (such as to spellings, labelling, organisation, presentation, minor clarifications of arguments) and recommend that the degree be awarded subject to the candidate amending the thesis to the satisfaction of the internal examiner(s) (see sub-paragraph G 13.4.2 above), they shall submit a report in writing indicating what amendments and corrections are required and the reason for their recommendation. This report should be submitted to the Doctoral Research College within two weeks of the date of the oral examination. The report will then be forwarded to the candidate, who should submit the amended thesis to the Doctoral Research College within six weeks of the formal notification letter issued following examination. The examiners may, where there are good reasons, recommend that the student be permitted up to a maximum of 6 months from the date of the formal notification letter issued following examination to make the minor amendments.
- G13.7 Where the examiners are satisfied that the candidate has in general reached the standard required for the degree, but consider that the candidate's thesis

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requires some major amendments and corrections (such as reorganisation of content, some reanalysis, clarification of key points, conclusions) but which does not affect the originality of the central thesis, and recommend that the degree be awarded subject to the candidate amending the thesis to the satisfaction of the internal and/or the external examiner(s) (see sub-paragraph G 13.4.3 above), they shall submit a report in writing indicating what amendments and corrections are required and the reason for their recommendation. This report should be submitted to the Doctoral Research College within two weeks of the date of the oral examination. The report will then be forwarded to the candidate, who should submit the amended thesis to the Doctoral Research College within six months of the date of the formal notification letter issued following examination. The examiners may, where there are good reasons, recommend that the student be permitted up to a maximum of 12 months from the date of the formal notification letter issued following examination to make the major amendments.

- G13.8 Where the examiners recommend that the degree be not awarded they shall, within one month of the date of the oral examination, prepare an agreed statement of the deficiencies of the thesis and the reason for their recommendation, which shall be forwarded to the candidate by Doctoral Research College.
- G 13.9 Where the examiners' recommendations are unanimous the Deputy Vice Chancellor Research, Innovation and Enterprise, may confirm the recommendation of the examiners and instruct the Doctoral Research College to act accordingly. If the Deputy Vice Chancellor Research, Innovation and Enterprise declines to exercise his/her authority in this respect, the recommendations must be put to the next meeting of the RC.
- G 13.10 Where the examiners' recommendations are not unanimous, Deputy Vice Chancellor Research, Innovation and Enterprise acting on behalf of the RC may:
- 13.10.1 accept a majority recommendation (provided that the majority recommendation includes at least one external examiner);
  - 13.10.2 accept the recommendation of the external examiner;
  - 13.10.3 require the appointment of an additional external examiner; or
  - 13.10.4 require that a further examination be held with a new set of examiners
  - 13.10.5 refer the matter to RC
  - 13.10.6 if in accordance with regulation G 13.10.3 or G 13.10.4 above the Chair of RC decides to appoint an additional examiner or to hold a further examination the recommendations of the new examiner(s) shall be referred to RC together with those of the original examiners

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for decision.

G 13.11 Where an additional external examiner is appointed under sub-paragraph G 13.10.3 above, he/she shall prepare an independent preliminary report on the basis of the thesis and, if considered necessary, may conduct a further oral examination. That examiner should not be informed of the recommendations of the other examiners. On receipt of the report from the additional examiner the Deputy Vice Chancellor Research, Innovation and Enterprise shall make a decision on the recommendations of the examiners or refer the matter to RC for decision.

G 13.12 Where the Deputy Vice Chancellor Research, Innovation and Enterprise declines to exercise authority as described above, and the examiners' recommendation is referred to RC, the Committee may:

13.12.1 accept a majority recommendation (provided that the majority recommendation includes at least one external examiner);

13.12.2 accept the recommendation of the external examiner; or

13.12.3 require the appointment of an additional external examiner

13.12.4 require that a further examination be held with a new set of examiners

13.12.5 if in accordance with regulation G 13.12.3 or G 13.12.4 above RC decides to appoint an additional examiner or to hold a further examination the recommendations of the new examiner(s) shall be referred to RC together with those of the examiners for decision.

#### **G 14. RE-EXAMINATION OF THE THESIS**

G 14.1 One re-examination will be permitted, subject to the following requirements:

14.1.1 a candidate who fails to satisfy the examiners at the first examination, including where appropriate the oral examination may, on the recommendation of the examiners and with the approval of the Deputy Vice Chancellor Research, Innovation and Enterprise, be permitted to revise the thesis and be re-examined;

14.1.2 the examiners shall provide the candidate, through the Doctoral Research College, with written guidance on the deficiencies of the first submission; and

14.1.3 the candidate shall submit for re-examination within the period of one calendar year from the date of the latest part of the first examination. The Deputy Vice Chancellor Research, Innovation and Enterprise may, where there are good reasons, approve an extension of this

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period.

G 14.2 The Deputy Vice Chancellor Research, Innovation and Enterprise may require that an additional external examiner be appointed to the existing examining team for the re-examination.

G 14.3 There are three forms of re-examination:

14.3.1 where the candidate's performance in the first oral examination was satisfactory but the thesis was unsatisfactory and the examiners on re-examination certify that the thesis as revised is satisfactory, the RC may exempt the candidate from an oral re-examination;

14.3.2 where the candidate's performance in the first oral examination was unsatisfactory and the thesis was also unsatisfactory, any re-examination shall include a re-examination of the thesis and an oral examination;

14.3.3 where on the first examination the candidate's thesis was satisfactory but the performance in the oral examination was not satisfactory the candidate shall be re-examined in the oral examination, subject to the time limits prescribed in sub-paragraph G 14.1.3 above, without being requested to revise and re-submit the thesis.

#### **G 14.4 The Examiners' Scrutiny of the Revised Thesis**

in the case of a re-examination under sub-paragraphs G 14.3.1 or G 14.3.2 above, each examiner shall read and examine the thesis and submit, on the appropriate form an independent preliminary report on it to the Doctoral Research College before any oral examination is held. In completing the preliminary report, each examiner shall consider whether the thesis provisionally satisfies the requirements of the degree (as set out in paragraphs G 2.3 and G 2.4 above) and where possible make an appropriate provisional recommendation subject to the outcome of any oral examination.

#### **G 14.5 The Oral Re-examination**

Following the re-examination of the thesis under sub-paragraph G 14.3.1 above or following an oral examination under G 14.3.2 or G 14.3.3, above the examiners shall, where they are in agreement, submit, on the appropriate form, a joint report and recommendation relating to the award of the degree to the Doctoral Research College. The preliminary reports and joint recommendation of the examiners shall together provide sufficiently detailed comments on the scope and quality of the work to enable the RC to satisfy itself that the recommendation is appropriate.

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

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#### **G 14.6 The Recommendation of the Examiners Following Re-examination**

Following the completion of the examination the examiners may recommend that:

- 14.6.1 the candidate be awarded the degree;
- 14.6.2 the candidate be awarded the degree subject to minor amendments being made to the thesis (see paragraph G 14.7 below);
- 14.6.3 the candidate be awarded the degree subject to major amendments being made to the thesis (see paragraph G 14.8 below);
- 14.6.4 the candidate be not awarded the degree (see paragraph G 14.9 below); or
- 14.6.5 in the case of a PhD examination the candidate be not awarded the degree of PhD but be invited to submit for the award of MPhil. The examiners may recommend that the degree of MPhil be awarded subject to the presentation of the thesis amended to the satisfaction of the examiners.

Examiners may indicate informally their recommendation on the result of the examination to the candidate but they shall make it clear that the decision rests with the RC.

G 14.7 Where the examiners are satisfied that the candidate has in general reached the standard required for the degree, but consider that the candidate's thesis requires some minor amendments and corrections and recommend that the degree be awarded subject to the candidate amending the thesis to the satisfaction of the internal and/or the external examiner(s) (see sub-paragraph G 14.6.2 above), they shall submit a report in writing indicating what amendments and corrections are required and the reason for their recommendation. This report should be submitted to the Doctoral Research College within one month of the date of the oral examination. The report will then be forwarded to the candidate, who should submit the amended thesis to the Doctoral Research College within six weeks of the date of the formal notification letter issued following re-examination. The examiners may, where there are good reasons, recommend that the student be permitted up to a maximum of 6 months, from the date of the formal notification letter issued following re-examination, to make the minor amendments.

G14.8 Where the examiners are satisfied that the candidate has in general reached the standard required for the degree, but consider that the candidate's thesis requires some major amendments and corrections (such as reorganisation of content, some reanalysis, clarification of key points, conclusions) but which does not affect the originality of the central thesis, and recommend that the degree be awarded subject to the candidate amending the thesis to the

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satisfaction of the internal and/or the external examiner(s) (see sub-paragraph G 14.6.3 above) they shall submit a report in writing indicating what amendments and corrections are required and the reason for their recommendation. This report should be submitted to the Doctoral Research College within two weeks of the date of the oral examination. The report will then be forwarded to the candidate, who should submit the amended thesis to the Doctoral Research College within six months of the date of the formal notification letter issued following re-examination. The examiners may, where there are good reasons, recommend that the student be permitted up to a maximum of 12 months, from the date of the formal notification letter issued following re-examination, to make the major amendments.

- G 14.9 Where the examiners recommend that the degree be not awarded they shall, within one month of the date of the oral examination, prepare an agreed statement of the deficiencies of the thesis and the reason for their recommendation, which shall be forwarded to the candidate by the Doctoral Research College.
- G 14.10 Where the examiners' recommendations are unanimous the Chair of the RC, acting on behalf of the Committee, may confirm the recommendation of the examiners and instruct the Doctoral Research College to act accordingly. If the Chair of the RC declines to exercise his/her authority in this respect, the recommendations must be put to the next meeting of the RC.
- G 14.11 Where the examiners' recommendations are not unanimous, the Chair of the RC acting on behalf of the Committee may:
- 14.11.1 accept a majority recommendation (provided that the majority recommendation includes at least one external examiner);
  - 14.11.2 accept the recommendation of the external examiner; or
  - 14.11.3 require the appointment of an additional external examiner;
  - 14.11.4 require that a further examination be held with a new set of examiners;
  - 14.11.5 if in accordance with regulation G 14.11.3 or G 14.11.4 above RC decides to appoint an additional examiner or to hold a further examination the recommendations of the new examiner(s) shall be referred to RC together with those of the examiners for decision.
- G 14.12 Where an additional external examiner is appointed under sub-paragraph G 14.11.3 above, he/she shall prepare an independent preliminary report on the basis of the thesis and, if considered necessary, may conduct a further oral examination. That examiner should not be informed of the recommendations of the other examiners. On receipt of the report from the additional examiner the Chair of RC shall make a decision on the recommendations of the examiners or refer the matter to RC for decision.

Version 3 - This version of the regulations applies to research degrees students enrolled FROM September 2014 onwards. For students enrolled BEFORE September 2014 please see Section G version 1 of these regulations.

## **G 15. REVIEW OF AN EXAMINATION DECISION**

G 15.1 A candidate may in the circumstances set out below request a review of an examination decision, whether at the first examination or re-examination.

G 15.2 A request for a review may be made only in relation to a decision of the RC on the recommendation of the examiners. Given the existence of procedures for complaint and grievance during the study period, alleged inadequacy of supervisory or other arrangements during the period of study shall not constitute grounds for requesting a review of the examination decision.

G 15.3 A request for a review may only be made on the following grounds:

15.3.1 that there were circumstances affecting the candidate's performance in the oral examination of which the examiners were not aware at the time; and/or

15.3.2 that there is evidence of procedural irregularity in the conduct of the examination (including administrative error) of such a nature as to cause doubt as to whether the result might have been different had there not been such irregularity; and/or

15.3.3 that there is evidence of unfair or improper assessment on the part of one or more of the examiners.

A candidate may not otherwise challenge the academic judgement of the examiners.

G 15.4 A candidate shall give notice, in a letter to the Head of Student Complaints, Appeals and Conduct, within ten days of receipt of notification of the result that he/she wishes to request a review and shall submit the case for review within a further four weeks from the date of giving notice. Exceptionally, where good cause is demonstrated, the Head of Student Complaints, Appeals and Conduct may exercise discretion to extend the period for request of a review.

G 15.5 The request for a review shall first be considered by the Deputy Vice Chancellor Research, Innovation and Enterprise who shall determine whether there is a prima facie case for a review. If it is decided that a prima facie case has not been established, a recommendation to this effect shall be submitted to the Chair of Academic Board for decision. The Chair of Academic Board may support the recommendation or require further investigation or action on the review. There shall be no appeal from the decision of the Chair of Academic Board.

G 15.6 If it is considered that there is a prima facie case for a review the Deputy Vice Chancellor Research, Innovation and Enterprise shall ask the Complaints and Appeals office to gather such evidence as is considered appropriate and likely to assist a panel in reviewing the case. This may include seeking written or

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oral testimony from the examiners, from the Independent Chair of the examination, from supervisors or other members of the academic staff, or further evidence or statements by way of elucidation from the candidate.

G 15.7 The request for a review shall be considered by a panel constituted by the Deputy Vice Chancellor Research, Innovation and Enterprise from persons having experience of supervising and examining research degrees and who have had no previous involvement in the case. No student or research degree candidate shall be a member of a research degree review panel. The Chair of the panel shall be a senior member of staff who is not a member of the RC.

G 15.8 If the review panel decides that a candidate has valid grounds for a review, it shall require that the RC take one or more of the following courses of action:

- reconsider its decision;
- invite the examiners to reconsider their decision; or
- appoint new examiners.

G 15.9 There shall be no appeal against the decision of the review panel.

G 15.10 A review panel shall not be constituted as an examination board and shall not have the authority to set aside the decision of the RC and thereby to recommend the award of the degree.

G 15.11 If an appeal has been upheld under paragraph G 15.3.2 above and the RC has declined to alter its original decision the Deputy Vice Chancellor , Research, Enterprise and Business Engagement may refer the matter to the Senate for resolution.

## **G 16 SUBMISSION OF THESIS FOLLOWING AWARD**

G16.1 Following the award of the degree, research degree graduates are required to submit one, permanently hard-bound copy of their thesis to the University for lodging with the library and an electronic copy for e-deposit in the University's e-repository. If appropriate, a hard copy should also be placed in the library of any Collaborating Establishment. The thesis should be submitted with confirmation that the contents of the permanently bound version are identical to the version approved through the examination process.

G16.2 In addition to the requirements which apply for submission of the thesis for examination (see Section G 11.13), the following shall apply to the final version of the thesis submitted after the award:

G16.2.1 The binding shall be of a fixed type so that leaves cannot be removed or replaced. The front and rear boards shall have sufficient rigidity to support the weight of the work when standing upright.

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G16.2.2 The outside front board shall bear the title of the work in at least 24pt type. The name and initials of the candidate, the qualification and the year of submission shall also be shown on the front board. The same information (excluding the title of the work) shall be shown on the spine of the work together with the volume number, where applicable. The information should be printed either across the spine or along the spine in such a way as to be readable when the volume is lying flat with the front cover uppermost.

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APPENDIX 1: SPECIMEN THESIS TITLE PAGE

THE ORIGINS OF THE FARMERS' CO-OPERATIVE IN WESSEX

JOHN SMITH

A thesis submitted in partial fulfilment of the requirements of  
Birmingham City University  
for the degree of Doctor of Philosophy

September 2014

The Faculty of Agricultural Studies, Birmingham City University,  
in collaboration with the Borchester Farmers' Club