

# Guide to Examinations for Higher Degrees by Research

## Part I Guidance to Students on Submission and Examination of the Thesis

1. Timing of Submission
  2. Appointment of Examiners and Examination Advisor
  3. University Requirements for the Award of Research Degrees
  4. Presentation of the Thesis
  5. Binding and Submission to the Graduate School Office
  6. Conditions of Acceptance by the Library (Including Restriction of Access)
  7. What Happens After Submission?
  8. Award of Your Degree
- APPENDIX A: Model Title Page  
APPENDIX B: Guide to Hard-Binding Your Thesis

## Part II Guidance to Academic Departments and Supervisors on Research Degree Examinations

1. Responsibilities of Supervisors
2. Criteria for the Appointment of Research Degree Examiners
3. Appointment of the Examination Advisor
4. Responsibilities of Departments
5. Approval of Examiners and Dispatch of the Thesis
6. Approval of the Examiners' Recommendation
7. Resubmission
8. Correspondence between the Graduate School Office and the Department

## Part III Guidance to Examiners and Examination Advisors on the Conduct of Research Degree Examinations

1. Appointment of Examiners and Role of the Examination Advisor
  2. General Procedure for the Examination
  3. Requirements for Each Degree
  4. The Individual Reports
  5. Recommendations available to Examiners
  6. The Oral Examination (or Viva Voce Examination)
  7. The Joint Report and Submission of Examiners' Reports
  8. Guidance for Revising the Thesis
  9. Confidentiality of Reports
  10. Examination of a Resubmitted Thesis
- APPENDIX C: Role of Examination Advisor for Research Degree Examinations: Notes of Guidance

## Part IV University Regulations Governing Higher Degrees

Regulation 38 – Regulations Governing Research Degrees

Regulation 38 Annex 1 - Guidance on Requirements for the Award of Research Degrees

Regulation 11 - Procedure to be Adopted in the Event of Suspected Cheating in a University Test

This guide is intended for candidates and examiners, examination advisors, chairs of department, directors of graduate study and supervisors. It sets out the expectations of the University with regard to the examination of research degrees and the procedures to be followed in the conduct of research degree examinations.

The guide is divided into four parts. Although students, staff and examiners will find the most important information relating to their roles and responsibilities in the part addressed directly to them, cross-referencing has been used to help users of the guide find relevant information as easily as possible.

- Part I                    Guidance to Students on Submission and Examination of the Thesis
  
- Part II                    Guidance to Academic Departments and Supervisors on Research Degree Examinations
  
- Part III                    Guidance to Examiners and Examination Advisors on the Conduct of Research Degree Examinations
  
- Part IV                    University Regulations Governing Research Degrees (taken from the University of Warwick Calendar)

Further advice on all aspects of the University's procedures and regulations relating to research degree examinations may be obtained from the Graduate School Office, Senate House. Enquiries should be directed to the Graduate School Office in the first instance (tel.: 024 765 75533), internal extension 75533, email [graduateschool@warwick.ac.uk](mailto:graduateschool@warwick.ac.uk).

Approved by BGS (CA) 7 September 2012

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# 1. Timing of Submission

## 1.1 When to Submit

You must submit your thesis during your period of fee-paying registration or during a period of extension authorised by the Graduate School. If you submit after the period of authorised extension expires, the University may refuse to examine your thesis. The timing of submission should be carefully discussed with your supervisor(s) but it is ultimately your decision.

You are required to submit two copies of your thesis to the Graduate School Office for examination and these should be soft bound. You should also submit two copies of your thesis for the examiners, saved as a single file in pdf format on two CD ROMs. If you anticipate difficulties in submitting your thesis in this format, you should discuss this with your supervisor and you may make a request to the Chair of the Board of Graduate Studies in advance of submission to waive this requirement if necessary. You will need to prepare at least one additional copy for your own use.

After the examination process, you are required to submit one final hard bound copy of the final version of your thesis which will be placed in the University Library. You will also be asked to submit an electronic copy of your thesis on a CD ROM as a single file in pdf format, with the exception of Master's degree by Research. This will be stored in the institutional repository (see 5.2).

## 1.2 Early Submission

The University's regulations permit candidates to submit their theses more than a month before the end of their fee-paying registration. If you believe you are ready to submit earlier than one month before the end of your fee-paying registration you should consult your supervisor(s). If, having done this, you wish to go ahead with the early submission; you and your supervisor(s) should complete the Early Submission Form for a Research Thesis, copies of which are available online at <http://warwick.ac.uk/graduateschool/formslibrary> or from the Graduate School Office (ext 75533, [email graduateschool@warwick.ac.uk](mailto:graduateschool@warwick.ac.uk)). This form requires authorisation by your departmental Director of Graduate Studies, who should scrutinise your request and confirm that approval for early submission has been granted. Once approved the form should be sent to the Graduate School, where it will be held on file. This form will not be sent to the examiners of your thesis. You should be aware that early submission will not normally entitle you to any reduction or rebate in the fees normally payable for your degree. In contrast, you will normally be expected to pay any remaining fees to the University.

In addition, if you wish to submit earlier than the times specified below, you will also need to attach a statement to the Early Submission Form for a Research Thesis explaining the reasons for your request:

PhD, EdD or MD (full or part-time)	5 months
MPhil (full or part-time)	4 months
Master's degree by Research (full or part-time)	2 months

There is no formal provision for EngD students.

## 1.3 Late Submission

Any thesis not submitted to the Graduate School by the expected end date will be considered a late submission. Should you believe that you will submit late then you should discuss with your supervisor whether you need an extension to your registration. Failure to submit your thesis on time may result in you being permanently withdrawn from the University.

## 2. Appointment of Examiners

Examiners for your thesis will be appointed by the University in accordance with the procedure set out in Part II of this guide. Normally there will be one internal and one external examiner unless you are, or have been within 12 months of the date of submission, a member of staff, as defined in University Ordinance 10 (1) on Departments (available in the University Calendar on the University website), in which case there will be two external examiners. If an internal examiner with appropriate subject expertise and experience cannot be identified a second external examiner may be appointed even for a candidate who is not a member of staff. Your supervisor(s) should inform you of who your examiners are likely to be. You should keep your supervisor(s) informed of any individuals (inside or outside the University) with whom you have discussed your work in detail and from whom you have received significant advice since this may exclude them from being appointed as an examiner. You should also tell your supervisor(s) if you have a financial or personal connection with a possible examiner. You should not seek to contact your examiners once they have been appointed.

If there is no internal examiner, an examination advisor will also be appointed, and it is recommended to departments that consideration should be given to appointing an examination advisor in all cases where an oral examination will be held. The examination advisor will assist the examiners in following University procedures and chair and maintain a record of the oral examination but not otherwise act as an examiner of your thesis.

You should receive a copy of the Form for the Submission of a Research Thesis and the Nomination of Examiners for Research Degrees prior to the end of your period of fee-paying registration. Copies are available from the Graduate School Office and online at <http://warwick.ac.uk/graduateschool/formslibrary>. It is your responsibility to complete Part A of this form and forward it to your supervisor(s) to arrange the nomination of examiners (Part B) well in advance of the date expected for submission. Candidates should bear in mind that it may take several months for their supervisor(s) to identify suitable examiners and obtain their agreement to serve. Any delay in submission of the nomination form may lead to a delay in the final examination.

NB: EngD degrees are examined by a panel of examiners which normally includes one internal and two external examiners.

## 3. University Requirements for the Award of Research Degrees

Under the University's Regulations, a thesis shall consist of one or more pieces of work as specified in the relevant course regulations or departmental guidance. The length should not exceed the word limit specified for that degree, unless prior permission is obtained from the Chair of the Board of Graduate Studies.

The University's regulations define the requirements for the thesis for each research degree as follows (also see section 4 of part III of this Guide):

### 3.1 Degree of Master by Research, Master of Medical Science; and Master of Surgery (MA, MSc, LLM by Research, MMedSci, MS)

A thesis submitted in fulfilment of the requirements of a degree of Master shall be clearly and concisely written, show evidence of originality in knowledge and interpretation, and shall also be judged on its scholarly presentation. In addition, it shall contain a full bibliography.

The thesis shall not exceed 40,000 words, exclusive of appendices, footnotes, tables and bibliography.

### 3.2 Degree of Master of Philosophy (MPhil)

A thesis submitted in fulfilment of the requirements of the degree of MPhil shall constitute an original contribution to knowledge. The thesis shall be clearly and concisely written, well argued, and shall show a satisfactory knowledge of both primary and secondary sources. In addition, it shall contain a full bibliography and, where appropriate, a description of methods and techniques used in the research.

The thesis shall not exceed 60,000 words, exclusive of appendices, footnotes, tables and bibliography.

In the Faculty of Arts an appendix may contain material that functions as data to supplement the main argument of the thesis, and may not contain material that is an integral part of the thesis. An appendix may not exceed 5,000 words in length unless permission to exceed this length is given by the Chair of the Board of Graduate Studies.

### 3.3 Degree of Doctor of Philosophy (PhD)

To satisfy the requirements for the degree of PhD, a thesis shall constitute a substantial original contribution to knowledge which is, in principle, worthy of peer-reviewed publication. The thesis shall be clearly and concisely written, well argued, and shall show a satisfactory knowledge of both primary and secondary sources. In addition, it shall contain a full bibliography and, where appropriate, a description of methods and techniques used in the research.

The thesis shall not exceed 70,000 words in the Faculty of Science and 80,000 words in the Faculties of Arts, Medicine and Social Sciences. This limit shall be exclusive of appendices, footnotes, tables and bibliography. Any requests to exceed the word limits set out above are subject to approval by the Chair of the Board of Graduate Studies.

In the Faculty of Arts and Social Sciences an appendix may contain material that functions as data to supplement the main argument of the thesis, and may not contain material that is an essential or integral part of the thesis. The total length of all appendices may not exceed 5,000 words in length unless permission to exceed this length is given by the Chair of the Board of Graduate Studies.

In addition, the Board of Graduate Studies has resolved that a thesis submitted for the degree of PhD should be an original investigation characterised by rigorous methodology and capable of making a significant contribution to knowledge commensurate with the normal period of registration for a full-time or part-time student.

Information regarding PhDs by Published Work can be found in Part IV, Annex 1 of this document.

### 3.4 Degree of Doctor of Medicine (MD)

To satisfy the requirements of the degree of Doctor of Medicine a thesis shall consist of a substantial original contribution to medical knowledge which is, in principle, worthy of publication. The thesis shall be clearly and concisely written and well argued and shall show a satisfactory knowledge of both primary and secondary sources. In addition, it shall contain a full bibliography and, where appropriate, a description of methods and techniques used in the research.

The maximum length for an MD thesis is 70,000 words, exclusive of appendices, footnotes, tables and bibliography.

### 3.5 Degree of Doctor of Education (EdD)

To satisfy the requirements of the degree of Doctor of Education the thesis shall consist of an original contribution to knowledge which is, in principle, worthy of publication in a peer-reviewed journal. The thesis shall be clearly and concisely written and well argued and shall show a satisfactory knowledge of both primary and secondary sources. In addition, it shall contain a full bibliography and, where appropriate, a description of methods and techniques used in the research.

In the Institute of Education the thesis may take the form of one study not exceeding 50,000 words in length or two studies each not exceeding 20,000 words in length inclusive of appendices, footnotes, tables and bibliography. In the Centre for Applied Linguistics this shall take the form of a research thesis not exceeding 50,000 words in length, exclusive of appendices, footnotes, tables and bibliography.

### 3.6 Degree of Doctor of Engineering (EngD)

Candidates are required to demonstrate innovation in the application of knowledge to the engineering business environment, together with a number of specific competences. Full details appear in the Guidance on Requirements for the Award of Research Degrees.

No word limit is specified for the EngD portfolio.

### 3.7 Degree of Doctor of Clinical Psychology (DClinPsych)

In order for the candidate to be eligible for the award of the degree of Doctor of Clinical Psychology, the research thesis shall consist of an original contribution to knowledge which is, in principle, worthy of publication in a peer-reviewed journal.

The research thesis shall not exceed 20,000 words in length exclusive of appendices, footnotes, tables and bibliography.

## 4. Presentation of the Thesis

You should receive advice from your supervisor(s) and your Department or Centre on the presentation of the thesis in a format appropriate to your academic discipline. In addition to this advice, you must ensure that your thesis conforms to the University's requirements for presentation which are set out below. If your thesis does not meet these requirements it may not be accepted for examination.

### 4.1 Typing of Theses

Theses should be word-processed or typed on good quality A4 paper (29.7 x 21 cm) with a margin of at least 4 cm (1.5") on the left hand side. Adequate margins should also be left on the other three edges, so that the bound volume can be trimmed after binding. Page numbers should be typed at least 1.5 cm (0.5") into the page. Pages should be single-sided and in 1.5 spacing. Double-sided printing is acceptable for the final hard bound version for the Library. All copies must be of good legible quality. Candidates are warned that they will be required to correct any typographical errors to the satisfaction of the internal examiner before the award of the degree is approved by the Senate. Candidates should therefore carefully proof read their thesis for typographical errors and correct them before submitting the thesis. Offprints submitted must be bound in with the thesis or as a separate volume, as appropriate.

### 4.2 Library Declaration and Deposit Agreement

The Library Declaration and Deposit Agreement, which is available from the Graduate School website, should be completed and bound in with the thesis immediately prior to the title page.

#### 4.3 Title and Title Page

The title should describe the content of the thesis accurately and concisely.

The title page of every volume shall give the following information in the order listed (see model title page, Appendix A):

- 4.3.1 The full title of the thesis and the subtitle, if any.
- 4.3.2 The total number of volumes if more than one and the number of the particular volume.
- 4.3.3 The full name of the author, followed, if desired, by any qualifications and distinctions.
- 4.3.4 The full name of the qualification for which the thesis is submitted.
- 4.3.5 The name of the University and of the department, school or centre in which the research was conducted.
- 4.3.6 The month and year of submission.

#### 4.4 Table of Contents

The table of contents shall immediately follow the title page. It shall list in sequence, with page numbers, all relevant subdivisions of the thesis, including the titles of chapters, sections and subsections, as appropriate; the list of references; the bibliography; the list of abbreviations and other functional parts of the whole thesis together with any appendices. The table of contents should be followed by the list of illustrations and tables (see Section 4.9).

If a thesis comprises more than one volume, the contents of the whole thesis shall be shown in the first volume and the contents of each subsequent volume in a separate contents list within that volume.

#### 4.5 Acknowledgements

Any acknowledgements shall be on the page following the table of contents and list of illustrations and tables.

#### 4.6 Declaration and Inclusion of Material from a Prior Thesis

The acknowledgements should be followed under a separate heading by a declaration in which the author indicates any material contained in the thesis which s/he has used before or which the author has had published. The declaration shall state that the thesis is the candidate's own work except where it contains work based on collaborative research, in which case the nature and extent of the author's individual contribution shall be indicated.

The author shall also confirm in the declaration that the thesis has not been submitted for a degree at another university.

Candidates should note that they may incorporate work already submitted for another degree (e.g. a Master's) into the current thesis as long as the material concerned is indicated clearly in the text and the declaration refers to the incorporation of this material. Such material may provide support for a thesis but it will not be taken into account in evaluating the achievement of the requirements for the degree for which the thesis is being examined.



#### 4.7 Additional requirement relating to theses submitted within the Faculties of Medicine and Science

Candidates should be aware of the following resolution of the Board of Graduate Studies relating to the submission of all theses within the Faculties of Medicine and Science. Any research results included within a thesis, which have derived from collaborative work, or elements of a thesis previously published by the candidate, must be acknowledged using the following wording:

*'This thesis is submitted to the University of Warwick in support of my application for the degree of Doctor of Philosophy. It has been composed by myself and has not been submitted in any previous application for any degree [(if parts previously used add:) apart from the background material in sections XXX which was previously submitted for YYY degree.]*

*'The work presented (including data generated and data analysis) was carried out by the author except in the cases outlined below:*

*'List of data provided and/or analysis carried out by collaborators.*

*'Parts of this thesis have been published by the author:*

*'List of publications including submitted papers.'*

#### 4.8 Inclusion of Published Work

Candidates should be aware of the following Senate resolution on the publication of research material. They may include in a thesis any material arising from work on the thesis which had appeared in print before the thesis was completed or examined. Work published or submitted for publication before the beginning of a candidate's period of study may be included within a thesis, provided that it is clearly acknowledged in the declaration and set apart from the main body of the thesis (e.g. in an appendix) but this work should not in itself form part of the material to be examined for the degree.

#### 4.9 Summary or Abstract

There shall be a summary or abstract of the thesis, which should not exceed 300 words, bound in after the acknowledgements and declaration. The summary should not extend beyond a single A4 side, and to facilitate this, single spaced typing is permitted for the summary only. The summary shall provide a synopsis of the thesis and shall state clearly the nature and scope of the research undertaken and of the contribution made to the knowledge of the subject treated. There should be a brief statement of the method of investigation where appropriate, an outline of the major divisions or principal arguments of the work and a summary of any conclusions reached.

#### 4.10 Abbreviations

Where abbreviations are used a list of definitions shall be provided at the beginning or end of the thesis and the location of the list should be clearly indicated in the table of contents. Abbreviations may be used at the discretion of the author. For an abbreviation not in common use, the terms shall be given in full when the abbreviation is first used followed by the abbreviation in brackets.

#### 4.11 Tables and Illustrated Material

Any photocopies, photographs, diagrams, graphs and tables of data should be inserted where they appear in the text. Where you are unable to insert digital media directly into the thesis for printing, any additional materials should be mounted on good bond paper where they appear in the text; copy paper is unsuitable for this purpose. Additional costs may be charged for preparation work. If your thesis requires the inclusion of any maps or diagrams larger than A4, these must be folded well inside the front edge of the thesis.

The lists of tables and illustrations shall follow the table of contents but be placed before the acknowledgements and should include all tables, photographs, diagrams, etc., in the order in which they occur in the text.

#### 4.12 Research Training

It is permissible for a thesis to include information on the research training undertaken by the student during her/his period of study if the candidate and supervisor feel this to be appropriate.

#### 4.13 Length of Thesis

Theses should be written clearly and concisely. You should not feel that your thesis must necessarily be as long as the maximum word limit allowed within your Faculty for the degree concerned. You should discuss the appropriate length for your thesis with your supervisor(s) in view of the nature of the work you have undertaken. The word length permitted for each research degree is given in Section 3 above. Theses which exceed the word limit may not be accepted for examination.

#### 4.14 Bibliography

Theses submitted for any higher degree by research shall contain a full bibliography and references.

## 5. Binding and Submission to the Graduate School Office

### 5.1 Binding

The thesis must be submitted for examination in the first instance in a soft temporary binding. Two copies of the thesis must be soft bound unless there is a third examiner, in which case three will be required. This work should be carried out to University specifications and will be thermo-plastic glued with red leatherette grained card sides. Maps or diagrams larger than A4 must be folded well inside the front and side margins of the thesis.

As noted in paragraph 4.1, a 4cm (1.5") margin must remain on the left hand edge (binding edge) and adequate margins on the other three edges to allow for trimming after binding. Page numbers should be typed at least 1.5 cm (0.5") into the page.

### 5.2 Submission to Graduate School Office

Candidates are required to submit the soft-bound copies of the thesis to the Graduate School Office, Senate House, in person whenever possible. You should take copies to the Student Reception on the ground floor. You should also submit two copies of your thesis for the examiners, saved as a single file in pdf format on two CD-ROMs. Delivery to a department does not constitute a formal submission. If being sent by post, copies should be adequately and safely packaged and sent by secure registered post. Please note that the copies submitted to the Graduate School Office cannot be returned to you before the examination so they should be checked thoroughly for typographical and binding errors.

The Graduate School reserves the right to ask for alternative electronic copies of your thesis, saved in pdf format on two CD ROMs, if the original version of your thesis is not compatible with Turnitin, the source-matching software used by the University.

Following a successful examination (i.e. once your examiners have recommended the award of a degree and you have completed any minor corrections to the satisfaction of your examiners), you should arrange for your thesis to be hard-bound according to University specifications, as set out in Appendix B. Please note that the Library Declaration and Deposit Agreement form (available on the Graduate School website) must be bound in with the thesis, immediately prior to the Title Page. Candidates are required to submit the hard-bound copy of their thesis, together with one electronic copy saved in pdf format on one CD ROM (with the exception of a Master's degree by Research, to the Graduate School Office. Only once both the hard-bound and electronic copies have been received, will your name be included on a pass list for the award of a degree. The hardbound copy will subsequently be deposited in the University Library and the electronic copy will be uploaded to the University's institutional repository. Theses stored in this way will be accessible through the British Library

(BL) Electronic Theses Online Service (EThOS) service.

## 6. Conditions of Acceptance by the Library (including Restriction of Access)

As noted above, one copy of any thesis accepted for a higher degree is deposited in the University Library. The hard copy will be housed in the University Library. The electronic version will be deposited in the University's institutional repository (WRAP). Unless otherwise indicated on the Library Declaration and Deposit Agreement, this will be made openly accessible on the Internet and will be supplied to the British Library to be made available online via its EThOS service.

At present, theses submitted for a Master's degree by Research (MA, MSc, LL.M, MS or MMedSci) are not being deposited in WRAP and being made available via EThOS. This may change in future.

### 6.1 Restriction of Access

On submission of the thesis candidates are required to complete the Library Declaration and Deposit Agreement, indicating that the thesis will be deposited in the University Library in both hard and digital copy format following successful completion of the examination process.

Candidates can choose between four available options in respect of the availability of the thesis. The first three options can be selected without the requirement to seek the approval of the Chair of the Board of Graduate Studies, as follows:

- (i) Both the hard and digital copy thesis can be made publicly available immediately;
- (ii) The hard copy thesis can be made publicly available immediately and the digital copy thesis can be made publicly available after a period of two years;
- (iii) Both the hard and digital copy thesis can be made publicly available after a period of two years.

Candidates wishing to restrict access because of their intention to publish would normally be expected to choose option (ii); where a thesis contains sensitive or confidential material, option (iii) would be recommended.

The fourth option, to embargo the thesis for a period exceeding two years, will require the prior approval of the Chair of the Board of Graduate Studies (or his/her nominee), and will be granted only in exceptional circumstances. Restrictions to access in excess of two years have been agreed in the past where the material, if made publicly available in that time, could jeopardise the application for a patent, is commercially very sensitive, could endanger the author or other parties, or could jeopardise the reputation of an individual or individuals. Requests should be made by the candidate and supported by the relevant department, in writing, to the Graduate School Office at the time of submission and in advance of the examination.

Candidates can elect to deposit an abridged hard and/or digital version of their thesis in the Library, should it contain material protected by third party copyright for which they have been unable to obtain permission for inclusion within the thesis.

### 6.2 Permission to Copy

A declaration giving permission for reproduction may be made on the Library Declaration and Deposit Agreement to grant powers of discretion to the depository library to allow the thesis to be copied in whole or in part without further reference to the author. This permission covers only single copies made for study purposes, subject to normal conditions of acknowledgement. If the form is not signed and completed, it will be assumed that permission to reproduce single copies has been given.

## 7. What Happens after Submission?

(You may also wish to refer to Part III of this Guide for further details.)

- 7.1 Upon receipt of a thesis submitted in accordance with this Guide, the Graduate School will extend your period of registration to allow you access to the University's facilities during the examination period.
- 7.2 As long as your examiners have already been appointed your thesis will normally be sent for examination within a few days of submission. Examiners are asked to examine the thesis within a maximum of four months from the date on which they receive it (two months for Master's by Research). The Graduate School Office will do its best to inform you if it seems likely that there will be a delay in the examination beyond this period. Part III of this Guide provides guidance to research degree examiners and sets out the decisions available to them for each degree. The examiners' decision is subject to the approval of the Chair of the Graduate Studies Committee of your faculty who will scrutinise the examiners' reports before recommending the award of your degree by the Senate.

Should the examiners suspect a candidate of plagiarism, the examination process shall be stopped and an investigation undertaken as outlined in Regulation 11 (see Section III.4).

- 7.3 All candidates for doctoral degrees and for the degree of MPhil are required to attend an oral examination which is normally held at the University. Candidates for other degrees may also be required to attend such an examination. Examinations are arranged by the internal examiner or examination advisor. It is only in very exceptional circumstances that the examiners will agree to an oral examination being held away from the University or by video conferencing, and such arrangements require the approval of the Chair of the Board of Graduate Studies. Candidates should consult with their supervisors and/or the internal examiner/examination advisor concerning the likely timing of an oral examination. If you have any particular constraints with regard to the timing of the oral you should ensure that the internal examiner or examination advisor is aware of these. In such circumstances, efforts will be made to arrange the viva at a time which is as convenient as possible for you, but the day chosen will depend on the other commitments of the examiners.
- 7.4 A candidate will frequently be asked by the examiners to make minor corrections to his/her thesis before the examiners recommend the award of the degree and the thesis is in a satisfactory state to be lodged in the University Library. Such corrections will typically include removal of typographical errors and possibly re-writing of very limited sections of the thesis. If you are required to do minor corrections, the examiners should explain to you the changes required and you should complete them to the satisfaction of the internal examiner (or a nominated external examiner, where no internal examiner has been appointed) within the time period specified by the examiners, which will not exceed three months. Once you have completed any minor corrections to the satisfaction of your examiners, you should arrange for your thesis to be hard-bound according to University specifications, as set out in Appendix B, and submit it to the Graduate School Office.
- 7.5 If you are asked to resubmit your thesis you will be informed by the Graduate School Office which will send you a single note of guidance prepared by the examiners on the revisions you are required to undertake. A time limit will be set for the resubmission and this must be strictly adhered to. There will be a fee payable when you resubmit and you will be informed of the current level of fee when you are notified formally by the Graduate School of the requirement to resubmit. When you resubmit your thesis to the Graduate School Office, you should submit two soft-bound copies and two electronic copies, each saved in pdf format on two CD ROMs. You should also attach a memo detailing how you have addressed the requirements for revision set out by your examiners in their single note of guidance to you. Under the University's regulations, the examiners may allow you to resubmit your thesis once only and they may choose to hold a second viva voce examination if they wish.
- 7.6 In the unlikely event that the examiners recommend that the thesis be failed or that you be awarded a lower degree than the one for which you were registered, you have the right of appeal to the University. Information about the appeals process can be found on the University website at:  
<http://www2.warwick.ac.uk/services/academicoffice/ourservices/examinations/postgraduate>

If you decide to appeal you will be expected to complete a form explaining your case. This is available at <http://warwick.ac.uk/graduateschool/formslibrary> All correspondence related to Academic Appeals should be directed to [pgappeals@warwick.ac.uk](mailto:pgappeals@warwick.ac.uk)

## 8. Award of Your Degree

Once the Graduate School has received the hard bound copy of your thesis, together with one electronic copy saved in pdf format on a single CD ROM, and all of the internal paperwork in respect of your examination has been concluded, your name will be placed on a pass list for the conferral of your award by the Senate or Steering Committee acting on behalf of the Senate. The Graduate School will send formal notification of your award to your home address shortly after your award has been conferred. You will not receive a conferral letter nor be eligible to attend a Degree Congregation, should you have any study-related debts to the University.

You will also be invited to attend the next Degree Congregation. Congregations are held in mid-July and late January each year and you may receive your degree in person or in absentia. You cannot receive your degree certificate until the degree has been conferred formally at a Congregation whether you decide to be present in person or not.

# **A Study of the Life and Habits of the Aardvark**

**by**

**David Gordon Botterill**

A thesis submitted in partial fulfilment of the requirements for the  
degree of  
Doctor of Philosophy in Zoology

University of Warwick, Department of Zoology

September 2001

## A Guide to Hard-Binding Your Thesis

### Ph.D. Theses

1. The standard size for a printed thesis is A4: 297x210mm (11.7x8.3 inches).
2. Double sided printing is acceptable for the hard bound copy.
3. The thesis should be bound in black cloth (Arbelave library Buckram shade 585 or the closest match).
4. The spine should contain the following information in gold lettering, with the text positioned reading vertically from top to bottom (see example). Distances are from the *top* of the thesis:

50mm (2 inches)	Author's Surname and Initial(s) in capital letters (e.g., S. FAROOQ)
150mm (6 inches)	Degree type (in the format: Ph.D.THESIS)
240mm (9½ inches)	Year (e.g., 2013)

Where there are multiple volumes the volume number should be indicated on the spine *above* the Year in the format: 1

5. The font should be san serif, e.g., Arial or Helvetica, and the size 18 point. 16 point can be used if necessary in order to fit a longer Author Name on the spine.
6. A blank space of 30mm (1¼ inches) should be left at the foot of the spine.
7. The Library Declaration and Deposit Agreement form must be bound in with the thesis, immediately prior to the Title Page.

### D.Clin.Psych Theses (for joint degrees with Coventry

**University)** Follow instructions 1 to 7 above EXCEPT:

3. The thesis should be bound in purple cloth (Arbelave library Buckram shade 551 or the closest match).
4. The degree type on the spine should read: D.Clin.Psych.THESIS

S. FAROOQ

Ph.D. THESIS

2010

PART II Guidance to Academic Departments and Supervisors on Research Degree Examinations

1. Responsibilities of Supervisors
2. Criteria for the Appointment of Research Degree Examiners
3. Appointment of Two External Examiners: The Examination Advisor
4. Responsibilities of Departments
5. Approval of Examiners and Dispatch of the Thesis
6. Approval of the Examiners' Recommendation
7. Resubmission
8. Correspondence between the Graduate School Office and the Department



# 1. Responsibilities of Supervisors

Supervisors should consult the University's *Guidelines on the Supervision and Monitoring of Research Degree Students* and any relevant departmental documentation concerning their responsibilities with respect to the examination of their students.

Section 4 of Part I of this Guide sets out the University's expectations for the format of research theses and supervisors should provide guidance to students on any special presentational matters appropriate to the academic discipline. Supervisors are also referred to section 1 of Part I of this Guide concerning the University's requirements in relation to the timing of submission of the thesis. The procedure to be followed when a student wishes to restrict access to the final thesis will be found in section 6 of Part I of this Guide.

Examiners are nominated by the Department and appointed by the Graduate School. Candidates will normally be sent a form for the nomination of examiners before their period of full registration ends. After completing Part A of the form, the student should pass it to their supervisor(s) for the nomination of examiners. It is normal practice for the supervisor(s) to identify possible examiners in line with the guidance set out in section 2 below and to contact the examiners to check their willingness to act and their previous experience of examining. However, departments may have additional procedures for the identification and recording of research degree examiners and supervisors should check with appropriate staff in the department. Examiners should normally be nominated at least one month before the expected submission date and preferably earlier. Final responsibility for the nomination of examiners to the Graduate School lies with the department. All nomination forms must be signed by the Chair or a nominated Deputy such as the Director of Graduate Studies and forwarded to the Graduate School Office for approval by the Chair or Deputy Chair of the Board of Graduate Studies. The Graduate School Office will send the thesis together with the relevant report forms to the examiners.

Ideally, supervisors should be present in the Department before and after one of their students undergoes a viva voce examination to provide friendly support to the candidate. However, it is recognised that this may not always be possible. A supervisor will not usually be present at the examination itself unless the examiners have specially requested that s/he attends (see Regulation 38.6(7)).

## 2. Criteria for the Appointment of Research Degree Examiners

- 2.1 Normally two examiners should be nominated of whom one is a member of academic staff of the University and one who is external to Warwick, usually a member of academic staff at another institution of higher education or research institute.
- 2.2 It is recommended that consideration should be given to appointing an examination advisor in all cases where an oral examination will be held. The examination advisor will assist the examiners in following University procedures and chair and maintain a record of the oral examination but not otherwise act as an examiner of the thesis. In cases where there are two external examiners an examination advisor must be appointed (see 3 below for procedures for the appointment of an advisor), and it will be the responsibility of the examination advisor to make the necessary arrangements with the examiners and the student over the time and place of the viva.
- 2.3 A candidate's supervisor(s) should not serve as internal examiner or as the examinations advisor. However, staff who have served as the student's personal tutor/mentor or on a departmental review panel for monitoring the student's progress are not precluded from serving as either the internal examiner or the examination advisor, so long as they have not had a significant and direct personal role in advising on the content of the final thesis. Where there is no suitable member of staff within the department to act as either internal examiner or examination advisor, every effort should be made to identify a suitable member of staff elsewhere in the University. If there is no other suitable internal examiner, a second external examiner should be appointed in place of an internal examiner.
- 2.4 Where the candidate is, or has recently been, a member of the academic staff, research staff, administrative or library staff of the University as defined by University Ordinance 10 (1) on membership of Departments (see Part I Section 2), the examination shall be conducted by two

external examiners. In this context, an individual will usually be considered to be a recent member of staff if they left employment with the University within the twelve month period prior to submission of the thesis. Exceptionally, where the candidate is a Teaching Company Associate who has not been based on the University campus whilst pursuing their research, a case may be made for the appointment of one internal and one external examiner.

- 2.5 Probationary staff shall normally not be appointed to examine higher degrees by research.
- 2.6 Examiners are normally expected to have previous experience of supervising and examining theses for the degree they are being nominated to examine.
- 2.7 Examiners for a higher degree by research must normally hold a qualification or a record of completed research comparable to that required for the higher degree in question.
- 2.8 Where a proposed examiner does not have a qualification equivalent to that of the higher degree being examined or equivalent record of research and/or has little or no previous experience of supervision and examination at research degree level, departments are required to make a special case for the appointment of the proposed examiner. This case should be attached to the form for nomination of examiners and address the examiner's particular suitability to examine the thesis concerned. A curriculum vitae setting out the nominee's research record should also be included. It is recognised that staff have to gain experience as examiners and the pairing of a relatively inexperienced internal examiner with an experienced external examiner will usually be acceptable as long as the internal examiner has relevant subject expertise, a case has been made as outlined above, and an examination advisor has been appointed. The appointment of inexperienced external examiners will only be considered in exceptional circumstances; for example, for very specialised projects for which it was difficult to identify an experienced external with the necessary subject expertise. In such cases a very experienced internal examiner would normally be regarded as essential.
- 2.9 In addition to the two examiners described in [Section 2.1](#) above, an industrial examiner should be appointed for the degree of Doctor of Engineering (EngD). It is not necessary for an industrial examiner to hold a qualification or record of completed research equivalent to the degree being examined, nor to have previous supervisory or examination experience to the level being examined. However, the proposed industrial examiner should normally be working in a senior position in a commercial organization with relevance to the subject of the research, and generally have experience of working at this level with other organizations. A copy of their curriculum vitae should be provided with the nomination of examiners form, which demonstrates a sustained level of achievement, identifying them as an expert within the field.
- 2.10 An external examiner shall not normally be a former member of staff at the University unless at least three years have elapsed since their leaving date from the University.
- 2.11 Honorary staff of the University shall not be appointed as external examiners for higher degrees. Where an Honorary member of staff is appointed as internal examiner an Examination Advisor shall also normally be appointed.
- 2.12 Emeritus Professors and Readers may be considered for appointment as internal examiners if they have only recently retired from the University and Emeritus staff from other universities may be considered as external examiners on the same basis (a maximum interval of three years may be taken as a guideline).

### 3. Appointment of the Examination Advisor

If two external examiners are nominated because the candidate is a member of staff or no suitable internal examiner can be identified, the University's regulations require the department to nominate an examination advisor, who shall be a member of staff of the University other than the candidate's supervisor and who shall advise and assist the examiners in University and departmental procedures for the examination. It is recommended that departments consider appointing an examination advisor in all cases where an oral

examination will be held, especially where an internal examiner is relatively inexperienced (see para. 2.8 above). The examination advisor should be identified on the nomination form and should normally be a member of staff from the department, school or faculty with substantial experience of research degree examinations at Warwick. It is also possible, where the examiners are both very experienced, to appoint a more junior member of staff as an examination advisor in order to gain experience of the examination process. The role of the examination advisor is described in more detail in Appendix C of this Guide.

## 4. Responsibilities of Departments

### 4.1 Guidance to Supervisors and Candidates

Departments are expected to provide candidates with general guidance on any special presentational matters for research theses which are specific to the academic discipline. Any departmental procedures relating to the submission and examination of the thesis should be communicated clearly to supervisors and candidates. Departmental arrangements should support the implementation of the University's policies and procedures for the timely submission of research theses.

### 4.2 Appointment of Examiners

Chairs of department are responsible under Regulation 38.6(3) for the nomination of examiners and the examination advisor to the Chair or the Deputy Chair of the Board of Graduate Studies who considers nominations on behalf of the Senate. Departmental procedures should aim to assist supervisors to propose suitable examiners in good time and at least one month before the candidate plans to submit his/her thesis. As noted above, final responsibility for the nomination of examiners to the Graduate School, however, lies with the department and not with the supervisor and all nomination forms must be signed by the Chair or a nominated Deputy such as the Director of Graduate Studies. Chairs and Directors of Graduate Studies are asked to ensure that nomination forms are completed in full and that examiners meet the criteria set out in section 2 and 3 above.

### 4.3 Payment of Examiners

The external examiner will receive an expenses claim form on appointment. This form is also available at <http://warwick.ac.uk/externalexaminer>. On presentation of original receipts, the Graduate School will reimburse travel, subsistence and accommodation costs up to a total of £300. Any expenses above this £300 threshold will be passed to the department for reimbursement.

### 4.4 Payment for alternative arrangements for the oral examination

In those exceptional circumstances where the Chair of the Board of Graduate Studies has given approval for alternative arrangements to be made for the oral examination (e.g. for it to be held by video conference), the department is responsible for paying for the alternative arrangements. The Graduate School is only able to cover those costs it would normally cover (i.e. external examiners' travel, subsistence and accommodation expenses).

## 5. Approval of Examiners and Dispatch of the Thesis

5.1 On receipt in the Graduate School Office, the form nominating examiners and examination advisor is scrutinised by the Chair of the Board of Graduate Studies (or the Deputy Chair), who is authorised to approve the nominations on behalf of Senate. If the Chair requires further clarification of the information provided on the nominated examiners, the Graduate School Office will contact the supervisor or Director of Graduate Studies. Departments should be aware that if any of the required sections of the form are left blank the Office will return the form and ask for it to be completed in full.

5.2 When the nominated examiners are approved by the Chair or the Deputy Chair, the Graduate School Office will inform the department. If the nominations are turned down or if further clarification is required, the Graduate School will contact the department.

- 5.3 When the candidate submits his/her thesis, the Graduate School Office will forward it to the appointed examiners. A copy of Part III of this Guide and examiners' report and expenses claim forms will be enclosed with the thesis. The Graduate School Office will not contact the examiners prior to this, but the department may wish to do so. Please note that the Graduate School Office will not arrange the oral examination, this is entirely the responsibility of the internal examiner and examination advisor (where one is appointed).

## 6. Approval of the Examiners' Recommendation

The recommendation of the examiners is subject to the approval of the Chair of the Graduate Studies Committee of the appropriate Faculty who will scrutinise the examiners' reports before approving the recommendation. There may therefore be a delay between the viva voce examination and the approval of the award of a degree by Steering Committee on behalf of Senate.

In the unlikely event that the examiners are unable to agree on the recommendation to be made, or if for any other reason a further opinion is required on the work submitted, an external adjudicator may be appointed. Please contact the Graduate School as soon as possible to discuss the nomination and approval of an external adjudicator.

## 7. Resubmission

- 7.1 Where the examiners recommend that the thesis be resubmitted, supervisor(s) are expected to provide detailed guidance to the candidate on the work to be done in light of the notes for guidance prepared by the examiners. Where necessary the supervisor(s) and the candidate may wish to discuss the changes required with the internal examiner but the latter must normally avoid taking on a substantial supervisory role in relation to the candidate during the resubmission period.
- 7.2 Departments are responsible under the *Guidelines on Supervision and Monitoring of Research Degree Students* for ensuring that students whose theses are referred for resubmission are provided with appropriate advice by the supervisor and internal examiner, or examination advisor where two external examiners are appointed. A student who is required to resubmit is entitled to receive a level of supervision equivalent to a student at the writing up phase. Supervisors should normally read through the revisions prior to resubmission, noting that it remains the student's decision when to submit the thesis within the time allowed by the examiners.

## 8. Correspondence between the Graduate School Office and the Department

The departmental graduate secretary will be notified of the date of submission of each thesis. Information for each stage of the examination process can be located on SITS and departments are requested to contact the Graduate School should they have any problems identifying where this information can be found. Copies of the letters to the external examiner(s) will be sent to the internal examiner and examination advisor. In the case of resubmission, the letter informing the candidate of the decision together with the notes of guidance will be copied to the supervisor and graduate secretary.

Departments (graduate secretaries) are sent copies of individual conferral letters following approval of the award of a research degree by the Senate or the Steering Committee. During the summer vacation awards are approved by the Vice-Chancellor on behalf of the Senate if required but will usually await the first meeting of Steering Committee in the autumn term for formal approval. Any queries relating to this process should be addressed to the Graduate School office [at graduateschool@warwick.ac.uk](mailto:at_graduateschool@warwick.ac.uk).

PART III Guidance to Examiners and Examination Advisors on the Conduct of Research Degree Examinations

1. Appointment of Examiners and Role of the Examination Advisor
2. General Procedure for the Examination
3. Requirements for Each Degree
4. The Individual Reports
5. Recommendations available to Examiners
6. The Oral Examination (or Viva Voce Examination)
7. The Joint Report and Submission of Examiners' Reports
8. Guidance for Revising the Thesis
9. Confidentiality of Reports
10. Examination of a Resubmitted Thesis

APPENDIX C: Role of Examination Advisor for Research Degree Examinations: Notes of Guidance

# 1. Appointment of Examiners and Role of the Examination Advisor

At least two examiners (normally one internal and one external) are appointed for all candidates and their function is to make a recommendation on the thesis, in line with the University's regulations for research degrees, to the Chair of the Graduate Studies Committee of the appropriate Faculty Board. Where the candidate for a research degree is a member of staff, two external examiners will be appointed and the University will also appoint an examination advisor.

It is recommended that consideration should be given to appointing an examination advisor in all cases where an oral examination will be held. The examination advisor will assist the examiners in following University procedures and chair and maintain a record of the oral examination but not otherwise act as an examiner of the thesis. In cases where there are two external examiners an examination advisor must be appointed (see Part II, Section 3, for procedures for the appointment of an advisor, as well as Appendix C on the role of the advisor).

# 2. General Procedure for the Examination

For both new theses and resubmitted theses one soft bound copy of the work and a copy on CD ROM will be sent to each examiner as soon as possible after submission. Examiners are asked to prepare an independent report on the thesis before any oral examination or conferral with the other examiner has taken place. After the final decision on the thesis has been reached a joint report is required which sets out the examiners' final recommendation.

External examiners will receive a copy of the independent report form and an expenses claim form (which are also available at <http://warwick.ac.uk/externalexaminer>). Internal examiners will receive a copy of the form for both the independent and joint reports. An oral examination is required for the first submission of all theses except for Master's degrees by research where the holding of an oral is at the discretion of the examiners. If revisions to the thesis are required (either minor corrections or a resubmission) a separate set of notes for guidance jointly agreed by the examiners must be prepared for the candidate and returned as soon as possible together with the independent and joint reports to the Graduate School Office. Guidance notes should be presented as a single agreed set of notes which clearly set out the amendments required. In the case of minor corrections it is the responsibility of the examiners to inform the candidate of the revisions required and the deadline (see Section 8.1).

The University expects the examiners to act expeditiously in completing the examination process and has set the following deadlines by which the different stages of the process should normally be completed:

Completion of independent reports of examiners	2 months for Master's and 3 months for PhD
Completion of viva (if required) and joint examiners' report	2 additional weeks if no viva and 1 additional month otherwise
Review of examiners' recommendations by Chair of relevant Faculty Graduate Studies Committee	2 additional weeks

Whilst recognising that examiners will have many other commitments, examiners are asked to adhere to these time limits if at all possible as delays in the examination process can cause considerable distress to candidates, especially if they are required to resubmit the thesis. If it appears that the specified time period will be exceeded, the Graduate School Office should be informed immediately so that the situation can be explained to the candidate.

It is recognised that further delays may occur should it be necessary for the Chair of the Faculty Graduate Studies Committee to refer the examiners' recommendations to an external adjudicator.

### 3. Requirements for Each Degree

The standards expected for research degrees at the University of Warwick are specified in the formal regulation for each degree (Part IV of this guide, available online from <http://warwick.ac.uk/graduateschool/>) and in Part I. They are also outlined on the examiners' report forms. These requirements should be read carefully before assessment of the thesis.

### 4. The Independent Reports

The examiners should prepare independent reports, without consultation, before any oral examination or conferral with the other examiner has taken place. The report should be sent to the Graduate School, prior to the oral examination taking place.

The independent report should be sufficiently detailed to enable the Chair of the appropriate Graduate Studies Committee to assess the scope and significance of the work and the examiner's considered view upon it. It should assess the work in relation to the requirements specified for each degree in section 3 of Part I of this Guide. Examiners should look for evidence of training in and application of research methods appropriate to the particular field of study and should take into account the evidence of originality, critical power and publishable quality as appropriate to the degree concerned. The literary form must be satisfactory and the thesis should not be of unnecessary length. Examiners may require a candidate to confirm the length of the thesis. For Doctorates and the MPhil, the candidate must satisfy the examiners that s/he is well acquainted with the general field of knowledge to which the subject relates. For a Master's degree by Research, the candidate should satisfy the examiners that s/he has a general acquaintance with the published work relating to the subject of the thesis.

The report should highlight any particular strengths and any areas of concern and should identify the major issues which the examiner wishes to explore in the oral examination, if one is to be held. This will not preclude the examiners raising additional issues during the course of the oral examination.

In the unlikely event that an examiner suspects a candidate of plagiarism, the examination process should be stopped. The internal examiner or examination advisor should make a report to the Chair of the candidate's Department. The case will then be dealt with in accordance with the procedures set out in University Regulation 11.

Under Regulation 11 "cheating" is defined as "an attempt to benefit oneself or another, by deceit or fraud. This shall include reproducing one's own work or the work of another person or persons without proper acknowledgement."

An independent report is required both when a thesis is first examined and also when a resubmitted thesis is assessed by the same examiners, whether or not a second oral examination is to take place. The individual report should conclude with the examiner's independent recommendation on the thesis in line with the list of recommendations available to the examiners under Regulation 38 (see next section or online at <http://warwick.ac.uk/regulation38>).

## 5. Recommendations available to Examiners

### 5.1 The Recommendations Permitted for Each Degree

Regulation 38.8 sets out the recommendations open to examiners for research degrees

Further clarification of the use of each recommendation is set out below:

### 5.2 Award Degree in Question

(Recommendation (a) (Regulation 38))

“That the degree be awarded”

This recommendation should be chosen if the candidate has met all the requirements for the degree and the thesis is essentially free of typographical errors.

### 5.3 Pass with Minor Corrections

(Recommendation (b))

“That the degree be awarded, subject to minor amendments or corrections as defined below. In this instance, the examiners should advise the student of the required corrections and the deadline.”

Minor amendments or corrections must be completed by the candidate to the satisfaction of the internal examiner. Minor corrections should not entail a significant amount of further research or analysis. The examiners must specify the time available for completion of the corrections, up to a maximum of three months. The internal examiner shall ensure that the one copy of the thesis has been amended. In the case of a PhD by published work, the examiners may require minor amendments to the covering document.

Examiners are asked to list the ‘Minor Corrections’ as a separate, jointly agreed accompaniment to their report. Examiners do not need to attach a list of typographical corrections to the reports, but may choose instead to annotate a copy of the thesis if this is more convenient. However, any other corrections should be included within the jointly agreed list attached to the examiners’ reports.

They may recommend the award of the degree without delay, so long as the thesis is corrected before deposition in the University Library. The internal examiner (or a nominated external examiner where there is no internal examiner) is requested to confirm that the corrections have been carried out to his or her satisfaction and the degree cannot be awarded until this has been confirmed in writing to the Graduate School Office.

Alterations of a more substantial nature will require resubmission of the thesis, which will need to be completed within 12 months or such shorter period as recommended by the examiners (see recommendation (f)).

### 5.4 Consider Master’s by Research Thesis for an MPhil

(Recommendation (c))

“(MA, MSc and LLM by research) That the thesis (or exceptionally a revised thesis to be submitted within a prescribed period) be re-examined for the degree of MPhil”.



In such exceptional cases, the thesis as first submitted must in the view of the examiners be close to MPhil standard. Where a candidate is permitted to submit a revised thesis for the degree of MPhil, s/he should have the right, should the examiners deem the work as submitted to be of sufficient quality without revision, to be awarded the degree of MA, MSc or LLM (as appropriate) instead. Where a thesis is re-examined for the degree of MPhil, an additional external examiner will be appointed.

Under these circumstances, where a thesis is not subsequently approved for the award of an MPhil, it is expected that the candidate shall be awarded the degree of MA, MSc or LLM as appropriate.

#### 5.5 Consider MPhil Thesis for a PhD

(Recommendation (d))

“(MPhil only) That the thesis (or exceptionally a revised thesis to be submitted within a prescribed period) be reexamined for the degree of PhD”.

In such exceptional cases, the thesis as first submitted must in the view of the examiners be close to PhD standard and the award of an MPhil would seriously undervalue the work. Where a candidate is permitted to submit a revised thesis for the degree of PhD, s/he should have the right, should the examiners deem the work as submitted to be of sufficient quality without revision, to be awarded the degree of MPhil instead. Where a thesis is re-examined for the degree of PhD an additional external examiner will be appointed.

Under these circumstances, where a thesis is not subsequently approved for the award of the PhD, it is expected that the candidate shall be awarded the degree of MPhil.

#### 5.6 Award Master’s by Research with Distinction

(Recommendation (e))

“(MA, MSc, LLM only) That the degree be awarded with distinction”

This should be recommended only where the thesis is of highly exceptional quality.

#### 5.7 Resubmission of Thesis

(Recommendation (f))

“That the degree be not awarded, but that the student be permitted to submit a revised thesis. The examiners must set a deadline for resubmission of the thesis, within a maximum of 12 months from official notification by the University. In the case of a PhD by published work, the examiners may permit the submission of a revised covering document and/or a different selection of published material”

A candidate should normally be allowed to resubmit a thesis if it contains work which is adequate in substance but which requires greater revision than permitted under recommendation (b) above (section 5.3, “Minor Corrections”) but still can be completed within 12 months. Where, however, faults are found in the substance of the work, resubmission should be allowed only if the thesis is generally acceptable, faults notwithstanding, and where the amount of further research required is not such as to constitute virtually a new thesis. On resubmission, the examiners will have available the same range of recommendations as in the original submission, except that a candidate will be permitted to resubmit on only one occasion (unless the resubmission is specifically for a higher degree than the one for which the thesis was originally submitted – see paras 5.4 and 5.5 above).

If resubmission is recommended, examiners are required to supply the Graduate School Office with a jointly agreed note providing details on the points of which the candidate needs to take account when revising the thesis, and in a form suitable for giving to the candidate. It is important that the candidate is given clear and non-contradictory guidance on the revisions required and therefore that a single note is jointly agreed by the examiners. This note should be attached to the examiners' reports (but be separate from them) and will be forwarded to the candidate by the Graduate School Office once the examiners' recommendations have been approved (see section 8 below for further details). Examiners should also specify in their recommendation the length of time which the candidate has for resubmission of their thesis. This is at the discretion of the examiners up to a maximum period of 12 months.

Examiners may advise but not require a candidate to resubmit a thesis for a lower degree. Candidates can be permitted to submit a revised thesis for a degree of lower status providing the thesis is generally acceptable for the lower degree, faults notwithstanding, and where the amount of further research required is not such as to constitute virtually a new thesis. A recommendation to resubmit for a lower degree will be advisory only and will not be binding on the examiners at the time of resubmission. A candidate will be permitted to resubmit on only one occasion for the degree in question. Notes of guidance should be provided as indicated above.

## 5.8 Award Lower Qualification

(Recommendation (g))

“That a degree of lower status be awarded. The degrees available are listed below. The award of a degree may be subject to minor amendments as defined below. In this instance, the examiners should advise the student of the required corrections.”

PhD and MPhil candidates whose theses clearly do not meet the requirements for the degree for which the thesis was submitted and who are considered unable to bring the thesis up to an acceptable standard within the 12 month period allowed for resubmission may be considered for the award of a lower degree:

PhD; the degrees of MPhil or the appropriate Masters degree by Research may be awarded.

MD; the degree of MMedSci may be awarded

EngD; the degrees of MPhil or MSc by Research in Engineering may be awarded

EdD; the degree of MA or MSc by Research in Education or in Applied Linguistics and English Language Teaching

LLM; the Diploma in Legal Studies.

If award of the lower qualification is subject to minor amendments, these must be completed by the candidate to the satisfaction of the internal examiner (or a nominated external examiner where there is no internal examiner). Minor corrections should not entail a significant amount of further research or analysis. The examiners must specify the time available for completion of the corrections, up to a maximum of three months. The internal examiner (or an external examiner where appropriate) shall ensure that the one copy of the thesis has been amended. In the case of a PhD by published work, the examiners may require minor amendments to the covering document.

## 5.9 Failing the Candidate

(Recommendation (i))

“That no degree be awarded”.

This recommendation will only be made exceptionally and where the examiners deem the thesis of such poor quality as to make it unlikely that the candidate will be able to improve it to an acceptable standard for the award of any degree within the 12 month period allowed for resubmission. Where the examiners wish to make this recommendation for a Master's degree by Research, it is normal to hold an oral examination.

## 6. The Oral Examination (or Viva Voce Examination)

### 6.1 Requirement to hold an Oral Examination

All candidates for doctoral degrees and for the degree of MPhil are required to attend an oral examination after the first submission of the thesis. In the case of MA/MSc/LLM/MMedSci/MS degrees, an oral examination shall be held where one or both examiners considers this to be necessary to the examination process, at the discretion of the examiners.

There is no requirement for the examiners of a resubmitted thesis to hold a second oral examination, however, a second oral examination should be held where one or both of the examiners considers this to be necessary to the examination process and a second oral would be usual if the examiners are considering the award of a lower degree or failing the candidate.

### 6.2 Arrangements for the Oral Examination

The internal examiner is responsible for organising the oral examination. Where no internal examiner is appointed, the examination advisor is responsible for organising the oral examination. The Graduate School Office cannot undertake to assist with these arrangements. The date chosen should be as convenient as possible to all parties, including the student (see Part I, paragraph 7.2). The supervisor(s) should also be consulted and the oral should normally be held on a date on which the supervisor(s) is available.

At least two weeks before the date of the oral examination, the internal examiner or examination advisor should inform the external examiner, the candidate and the supervisor(s) in writing of the date and place of the oral examination. The internal examiner or examination advisor should also act as 'host' for the oral examination.

The oral should normally be held in the University and be attended by all examiners. In exceptional circumstances an oral examination may be held away from Warwick (for example at the external examiner's institution) but it should be conducted in an appropriate academic environment. In exceptional circumstances, for example in cases where an examiner is overseas and is unable to travel to Warwick within a reasonable timeframe, the examination may be conducted by video conference but normally only where the examiners and candidate are agreeable to this and with permission from the Chair of the Board of Graduate Studies. Departments should seek advice from the Graduate School Office in such cases. Any video conferences held should be conducted on a secure platform as recommended and supported by the University's Audio Visual Services department. 'Domestic' Skype is not considered to be stable enough for vivas to be held via.

### 6.3 Conduct of the Oral Examination

It is recommended that in all cases where an oral examination will be held departments should consider the appointment of an examination advisor, who will chair and maintain a summary record of the oral examination and be available to advise the examiners on university procedures and the recommendations available to them. Further guidance on the role and responsibilities of the examination advisor are set out in Appendix C.

It is the responsibility of the examiners in their joint report to provide a summary of the issues covered and the candidate's performance in the oral examination. The purpose of the oral examination is to enable the examiners to clarify any ambiguities in the thesis, to satisfy themselves that the thesis is the candidate's own work, that the candidate is familiar with the relation of his/her work to the field of study and also that his/her knowledge and appreciation of adjoining fields in the subject are up to the standard expected for the award of the appropriate degree.

The examination advisor and/or the examiners should attempt to make the candidate feel at ease and to ensure that the strengths as well as the weaknesses of the thesis are covered in the oral examination. Examiners may request advice on University procedures from the examination advisor and information from a candidate's supervisor, and, if they wish, ask the supervisor to be present at the oral examination. A supervisor can only be present at an examination at the request of the examiners and should play no part in the oral examination.

## 6.4 Feedback to the Candidate and Supervisor(s)

Where both examiners have agreed upon a recommendation, they are normally expected (but not required) to make it known to the candidate during or at the end of the oral examination if one is held. The examination advisor (if one is appointed) should be present when such feedback is given to the candidate. Where no oral is held (for example following a Masters by Research examination or a resubmission) the internal examiner is expected to make the outcome known informally to the candidate (and supervisor(s)). In all cases, the examiners must make it clear that this is their recommendation and that the final decision rests with the Chair of the Graduate Studies Committee and the Senate and that the candidate should expect to receive official notification of the approval of the decision in due course from the Graduate School Office, with the exception of minor corrections. In the case of minor corrections, the examiners should inform the candidate of the corrections required and the deadline for completion. The candidate should proceed to correct the thesis from the date of receipt of the minor corrections. The examiners might also wish to provide other feedback on the thesis at this stage, particularly if revisions or corrections are required. Please note, however, that although the examiners may provide the candidate with informal feedback and comments on any revisions required at the oral examination (and the internal examiner may undertake to do this when an oral is not conducted), the examiners should still submit a written note of guidance for revision with their reports, as this forms part of the formal record of examination (see Section 8).

It is the responsibility of the internal examiner to make the examiners' decision known and provide feedback to the supervisor(s) on any corrections required after the examination. Where two external examiners are appointed, the examination advisor should inform the supervisor(s) of the outcome of the examination and the external examiners should therefore ensure they let the examination advisor know their decision.

If the internal examiner anticipates any difficulty in making contact with a candidate where no viva has been held s/he should contact the Graduate School Office.

## 7. The Joint Report and Submission of Examiners' Reports

The joint report should normally be completed on the day of the oral examination or immediately the examiners have conferred as to the quality of the thesis where no oral is held. The joint report need not be as detailed as the individual reports but should briefly summarise the examiners' conclusions on the work and should summarise the issues covered and comment on the candidate's performance in the oral examination (if held) in sufficient detail to enable the Chair of the appropriate Graduate Studies Committee to judge how the joint recommendation relates to the recommendations made in the individual reports.

The Examination Advisor (if one is appointed) should complete the relevant section of the joint report of the examiners. If the examiners recommend that the degree for which the student has submitted be awarded, no more than a signature and a brief summary comment on the viva from the Examination Advisor may be necessary. If it was necessary for the Examination Advisor to intervene at any stage, this should be noted in the report and the circumstances explained.

If the decision is for resubmission, to award a lesser degree or no degree at all, a longer report is likely to be required, especially if the performance in the viva had a bearing on this decision. The Examination Advisor is not expected to provide a full transcript of discussions. It is up to the examiners to explain why the student's performance in the viva was unsatisfactory. The Examination Advisor should be able to say that the viva was conducted fairly and that the student was given adequate opportunity to answer the questions put by the examiners.

Examiners should ensure that there is no unnecessary delay between the examination of a thesis and the submission of the joint reports on the work. It is the responsibility of the internal examiner or examination advisor to ensure that all reports are submitted promptly, together with any list of minor corrections or notes of guidance for resubmission, to the Graduate School Office.

In accordance with Regulation 38.7(5), in the unlikely event that the examiners cannot agree on a joint recommendation on the thesis, an external adjudicator, who shall be external to the University will be appointed. The decision of this external adjudicator will normally be expected to prevail (see paragraph (7) of Regulation 38.7).

## 8. Guidance for Revising the Thesis

### 8.1 Minor Corrections

The definition of “Minor Corrections” in use at Warwick is given in section 5.3 above. Where this decision is recommended, a jointly agreed list of the corrections concerned should normally be appended to the examiners’ reports to enable the relevant Graduate Studies Committee Chair to evaluate the nature of the changes required to the thesis. Examiners do not need to attach a list of typographical corrections to the reports, but may choose instead to annotate a copy of the thesis if this is more convenient. However, any other corrections should be included within the jointly agreed list attached to the examiners’ reports.

The Graduate School Office will normally expect the candidate (and supervisor(s)) to receive the list of corrections directly from the examiners, wherever possible on the day of the oral examination if one is held to enable the candidate to complete the amendments as quickly as possible. Where an oral examination is not required, the internal examiner should ensure that the candidate is notified of the corrections at the earliest opportunity. (If there are two external examiners, the Examination Advisor should ensure that the candidate is notified of the corrections at the earliest opportunity.) However, the Graduate School will send the list of minor corrections to candidates if requested to do so by the examiners. The internal examiner is then asked to inform the Graduate School Office as soon as the corrections have been satisfactorily completed within a period determined by the examiners and not greater than three months. In the event that two external examiners are appointed, the Examinations Advisor is responsible for allocating responsibility for checking minor corrections to one of the external examiners.

### 8.2 Guidance on Revising a Thesis when Resubmission is Required

The examiners should provide a jointly agreed note of guidance which lists the revisions which are required to the thesis. These should be listed in a clear and unambiguous way and in sufficient detail to enable the candidate to be sure of what is required of them. This statement should be separate from the examiners’ reports but should be attached to the examiners’ reports when they are returned to the Graduate School Office. Please note that this statement is required even though the examiners may have provided the candidate with feedback at the oral examination (see section 6.4). It will be the responsibility of the Chair of the Faculty Graduate Studies Committee, when approving the reports and recommendation, to ensure that the guidance on resubmission provided by the examiners is clear and unambiguous.

## 9. Confidentiality of Reports

Examiners’ reports should remain confidential to the examiners, the examination advisor if one is appointed, the Chair of the appropriate Graduate Studies Committee, the Graduate School and the external adjudicator if one is appointed, until the reports have been formally approved by the Chair of the appropriate Graduate Studies Committee. After that, the Graduate School will release the joint examiners’ report to the student via their department. Independent reports will not normally be released. Should a student request copies of the independent reports, providing that the examiners have indicated their willingness for these to be shared, these will also be provided by the Graduate School. Should a student request copies of their examiners’ reports by submitting a Subject Access Request under the Data Protection Act, we would be legally obliged to release these. Further details of obligations under the Data Protection Act are available online: <http://www2.warwick.ac.uk/services/legalservices/freedomofinformation/sar>. Should the Chair of the Graduate Studies Committee require further advice when considering examiners’ reports for approval, s/he may consult with the Chair of the Board of Graduate Studies, who in exceptional cases may ask for the matter to be referred to an external adjudicator.

## 10. Examination of a Resubmitted Thesis

When assessing a resubmitted thesis, examiners should pay particular attention to the way in which the candidate has revised the thesis according to the recommendations made by the examiners in their written statement to the candidate. The candidate is expected to provide the examiners with a memo, together with the revised thesis, detailing how s/he has addressed the requirements for revision set out by the examiners

in their single note of guidance. In the event that a new examiner has been appointed in the period between the first submission and the resubmission, the examiners will be expected to judge the quality of the thesis according to the stipulations for improvement made by the initial team of examiners.

The procedures for the examination of a resubmitted thesis are essentially the same as for the initial submission of the work and independent reports and a joint report are again required. However, there is no requirement for a second oral examination although one may be held at the discretion of the examiners. An oral examination would normally be held if the candidate is resubmitting for a higher degree and no oral examination has previously been held.

Unless the candidate is resubmitting the thesis for a higher degree than on the original submission (see paragraphs 5.4 and 5.5), only one resubmission of a thesis is permitted and therefore the recommendation on a resubmitted thesis can only be:

- (a) To award the degree (See Section 5.2)
- (b) To award the degree subject to completion of minor corrections (Section 5.3)
- (c) To award a lower degree with or without minor corrections (Section 5.8)
- (d) To fail the candidate (Section 5.9).

Again, unless the candidate is resubmitting the thesis for a higher degree than on the original submission (see paragraphs 5.4 and 5.5), award of a higher degree is specifically excluded at this stage. If minor corrections are required they may be of greater extent than specified in section 5.3 but it should normally be possible for the candidate to complete them within three months.

Examiners and examination advisors should direct any enquiries on these guidelines to the Graduate School Office in the first instance (tel.: 02476 575533), internal extension 75533, email [graduateschool@warwick.ac.uk](mailto:graduateschool@warwick.ac.uk).

Role of Examination Advisor for Research Degree Examinations  
Notes of Guidance

Please refer to the *Guide to Examinations for Higher Degrees by Research* which provides information on examination procedures for research students and the relevant University Regulations. This is available at: <http://warwick.ac.uk/graduateschool/formslibrary>

The viva

1. Where there are two External Examiners (and no Internal Examiner) appointed, the responsibility for fixing a time and place for the viva and informing the examiners and student rests with the Examination Advisor. Otherwise, the Examination Advisor should liaise with the Internal Examiner about these arrangements.
2. Prior to the viva the Examination Advisor may request the Graduate School to supply them with copies of the independent report of each examiner. The Graduate School will send these onto the Examination Advisor, subject to their receipt within the Graduate School in advance of the viva.
3. At the beginning of the viva, the Examination Advisor should introduce the examiners and explain to the student what is going to happen.
4. The Examination Advisor should be present throughout the viva, but is not expected to take an active role in questioning the student. However, the Advisor should have regard to how the student is reacting and, if the student is clearly distressed or misunderstands a question, to intervene either to put the student at ease or to ask the examiner to clarify the question. The Examination Advisor should also ensure that the student is given an opportunity at the end of the viva to make any additional comments.
5. The Examination Advisor should be present while the examiners reach their decision, so as to be able to advise them on the options open to them and University procedures (for example, where the examiners do not agree). If the student is to be told straight away of the outcome of the viva, again the Examination Advisor should be present to clarify any questions on subsequent procedures that the student might have.
6. In the case of recommendation (b) minor corrections and where there are two external examiners, the Examination Advisor is responsible for the nomination of one of the external examiners to check that the minor corrections have been completed satisfactorily. The Examination Advisor is also responsible for forwarding the corrected theses for checking to the nominated external examiner.

The Examination Advisor's report

The Examination Advisor should complete the relevant section of the joint report of the examiners. If the examiners recommend that the degree for which the student has submitted be awarded, no more than a signature and a brief summary comment on the viva from the Examination Advisor may be necessary. This should list the main issues covered in the viva and state that the student's performance was considered by the examiners to be satisfactory. If it was necessary for the Examination Advisor to intervene at any stage, this should be noted in the report and the circumstances explained.

If the decision is for resubmission, to award a lesser degree or no degree at all, a longer report is likely to be required, especially if the performance in the viva had a bearing on this decision. The Examination Advisor is not expected to provide a full transcript of discussions. It is up to the examiners to explain why the student's performance in the viva was unsatisfactory. The Examination Advisor should be able to say that the viva was conducted fairly and that the student was given adequate opportunity to answer the questions put by the examiners.

Part IV University Regulations

REGULATION 38 - Regulations Governing Research Degrees

REGULATION 38 ANNEX 1 – Guidelines on the Requirements for Research Degrees

REGULATION 11 – Procedure to be Adopted in the Event of Suspected Cheating in a University Test



# Regulation 38 Governing Research Degrees

## Notes

1. *Where the post of a University official is named in the Regulation, this refers to the member of staff concerned or his/her authorised nominee.*

2. *Text in italics is included to provide explanation. Sub-headings in italics are intended to help users of the regulations to find the relevant section.*

**This Regulation applies to Research Degrees at the University, except for Higher Doctorates. Detailed information on individual courses is listed in the Course Regulations.**

**The Regulation on Collaborative Postgraduate Degrees applies to research degrees offered in collaboration with one or more institutions.**

**This Regulation sets out a list of research degrees awarded, general requirements for the award of degrees and specific provisions.**

## **38.1 Research degrees awarded by the University**

### **1. The University awards the following degrees by research:**

Master of Arts (MA)

Master of Science (MSc)

Master of Laws (LLM)

Master of Surgery (MS)

Master of Medical Science (MMedSci)

Master of Philosophy (MPhil)

Doctor of Clinical Psychology (DClinPsych)

Doctor of Education (EdD)

Doctor of Engineering (EngD)

Doctor of Medicine (MD)

Doctor of Philosophy (PhD)

European Doctor of Philosophy (PhD)

2. Degrees by research are normally awarded in a specific subject. A student may pursue research across more than one subject. A degree may be awarded that names more than one subject if:

(a) A supervisor is appointed in each of these subjects.

(b) The examiners appointed are deemed to be competent in each subject.

(c) The examiners recommend the award of the degree in each of the relevant subjects.

### 38.2 Registration for a research degree

There are detailed Guidelines for students registered for a research degree and staff involved in supervision of research students, approved by the Board of Graduate Studies. All research students and supervisors are expected to familiarise themselves with the relevant Guidelines, which are available on the Graduate School website. Departments also have specific requirements for research degrees, which are set out in departmental handbooks and on websites. In addition to these Guidelines, the Regulation on student registration, attendance and progress applies to all students at the University, including those registered for research degrees.

Some research degrees include a compulsory taught component. **Detailed information on individual course requirements, including course length and assessment methods, is set out in the Course Regulations.**

1. A student registered for a research degree must have at least one supervisor. Supervisors are normally members of academic staff at the University. Supervisors are nominated by Heads of Departments in accordance with the Guidelines on the Supervision and Monitoring of Research Degree Students and their appointment is subject to approval by the Chair of the Board of Graduate Studies.
2. Registration for a research degree is subject to monitoring, review and upgrade procedures specified by each department.
3. A student registered for a research degree may be required to pursue taught courses or training preparatory to or alongside research.
4. A student registered for a research degree may spend part of the period of study away from the University, as set out in the Guidelines on the Supervision of Research Students based away from the University.

### 38.3. Periods of study

1. The standard period of study for research degrees as set out below is determined by the Senate.

Degree	Full-time	Part-time
Master's by Research (MA, MSc, LLM, MMedSci, MS)	1 year	2 to 5 years
MPhil and MD	2 years	3 to 6 years
PhD	3 years (applicable to students who commenced their course at the University prior to 1 August 2011)  4 years (applicable to students who commenced their course at the University on or after 1 August 2011)	5 years (applicable to students who commenced their course at the University prior to 1 August 2011)  7 years (applicable to students who commenced their course at the University on or after 1 August 2011)
EngD	4 years	n/a
EdD	3 years	4 years

Guidance for this Regulation, Requirements for the award of Research Degrees, sets out specific requirements for the award of the degrees listed above, including the award of a PhD awarded on the basis of published work.

#### *Part-time study*

2. Part-time study is normally permitted if a student is only able to study on a part-time basis because of employment or other commitments for a significant part of the working week. Requests to study part-time are subject to approval by the Chair of the Board of Graduate Studies.

#### *Reductions to a period of study*

3. The Chair of the Board of Graduate Studies may approve a shorter period of study, particularly if a student has completed part of a period of study for a similar degree elsewhere.

#### *Changing registration to another course or qualification*

4. A student may upgrade to a higher qualification subject to satisfactory progress.

5 A student may, with the agreement of his/her department, seek permission from the Chair of the Board of Graduate Studies to change mode of attendance or to transfer to a different research degree.

#### *Submission deadlines*

6. A student registered for a research degree is expected to submit his/her thesis by the end of the period of study. Applicable to students who commenced their course at the University prior to 1 August 2011: An extension to this deadline of a maximum of twelve months may be permitted.

7. A student may apply to the Chair of the Board of Graduate Studies for a further extension of the period for submission, following the process set out by the Academic Office. A further extension will only be granted in exceptional circumstances.

8. Applications for extensions of more than twelve months at a time will not be considered.

9. A student who wishes to submit before the deadline may make a request to the Chair of the Board of Graduate Studies, with the support of the department concerned. Normally there will be no reduction in the total fee payable over the standard period of registration if a thesis is submitted early.

10. Non-submission of a research thesis by the end of the student's period of study constitutes grounds for permanent withdrawal under University Regulation 36.4.10.

### **38.4 Upgrading from MPhil to PhD**

1. Students who aim to complete a PhD normally register in the first instance for the degree of MPhil unless otherwise approved by the Board of Graduate Studies. Subject to satisfactory progress, registration may be upgraded to the degree of PhD. Departments may apply to the Chair of the Board of Graduate Studies to allow a student to register directly for the degree of PhD.

2. Departments are responsible for advising students of departmental requirements and procedures for upgrading to PhD in line with the Guidelines on the Supervision and Monitoring of Research Degree Students. If a student successfully completes departmental upgrading procedures, the department will then recommend upgrading to the Chair of the Board of Graduate Studies.

3. If a student fails to upgrade to the degree of PhD at the first attempt, s/he will normally be permitted to submit a further upgrading proposal. If the second attempt fails, the student may be allowed to continue his/her registration, but only for the degree of MPhil. Alternatively, the department may recommend that the student be required to withdraw in accordance with the Regulation on student registration, attendance and progress.

4. A student has a right to appeal against a decision that s/he be allowed to continue registration only for the degree of MPhil. Appeals will be considered if they are made within 42 days of notification of the department's recommendation. The appeals procedure set out in Section 9 will be used.

### **38.5. Requirements for theses submitted for research degrees**

A summary of requirements for different research degrees is contained within the Guidance to this Regulation, Requirements for Research Degrees. More detailed requirements for the presentation of theses are set out in the Guide to Examinations for Higher Degrees by Research, approved by the Board of Graduate Studies, which is available on the Graduate School website.

1. A thesis shall consist of one or more pieces of work as specified in the relevant course regulations or departmental guidance. The length should not exceed the word limit specified for that degree, unless prior permission is obtained from the Chair of the Board of Graduate Studies.
2. A student will not be permitted to submit a thesis which has been, or is being, submitted for a degree at another university, unless this is part of arrangements for an approved collaborative degree. A student may incorporate work submitted for a degree that has already been awarded, provided that the extent of this work is clearly indicated in the thesis. This work may provide support for a thesis but will not be taken into account when evaluating the thesis.
3. A student must indicate any joint work included in the thesis, stating their share in such work. Joint work includes work undertaken with the student's supervisor.
4. A thesis submitted for examination for a higher degree by research shall include a declaration that the research has been undertaken in accordance with University safety policy and Guidelines on Ethical Practice.
5. A final copy of the thesis must be deposited in the University Library following the conclusion of the examination, in a format specified in the *Guide to Examinations for Higher Degrees by Research*.

#### *Languages other than English*

6. A thesis or dissertation shall be written in English unless a student has obtained prior approval from the Chair of the Board of Graduate Studies for the use of another language.
7. The Chair of the Board of Graduate Studies may permit doctoral students of Modern Language Departments in the Faculty of Arts to write their theses in the language taught in that department. The primary reason for use of a language other than English should be that it allows a fuller historical or critical engagement with the materials discussed. An abstract of 1500 words in English should be submitted alongside the thesis for inclusion in the Library copy. All students must meet entry requirements for English language competence.

### **38.6 Examination of research degrees; appointment of examiners**

There is a detailed Guide to the Examination of Higher Degrees by Research, approved by the Board of Graduate Studies that sets out detailed information on examination procedures. This is available on the Graduate School website. Some research degrees have specific examination requirements. These are set out in [Annex 1](#) to this Regulation, Requirements for Research Degrees.

#### *Boards of Examiners for taught components of research degrees*

1. Where a Board of Examiners is appointed to examine a compulsory assessed taught component of a research degree as set out in the Course Regulations, the appointment of the Board and the process followed should be in line with the provisions of Section 3 of the Regulation on Taught Postgraduate Courses and the Senate Examination and Degree Conventions published by the Academic Office.
2. A Board of Examiners may reach one of the following decisions for each student: (a) To permit the student to proceed to the next part of the course, as set out in the Course Regulations;

(b) To require the student to resit an examination or resubmit specified work within a stated period, before proceeding to the next part of the course.

(c) To require the student to withdraw from the course. In this instance the Board may recommend the award of a qualification, if the student has met the requirements set out in the Course Regulations.

#### *Appointment of examiners and examination advisors for research degrees*

3. A Head of Department is required to nominate examiners for each research degree, following the process set out by the Academic Office. The Chair of the Board of Graduate Studies considers these nominations on behalf of the Senate. Normally, one external examiner and one internal examiner are appointed. A fee is payable to examiners.

4. A former member of University staff is not normally eligible to act as an external examiner, unless at least three years have elapsed since his/her resignation. Heads of Departments are required to monitor the nomination of examiners to ensure that, other than when required because of the nature of a student's research project, the same external examiners do not regularly examine students supervised by a single member of staff.

5. If the student is a member of University staff, or has been a member of staff during their course, two external examiners will be appointed. For these purposes, a member of staff is defined as someone with a formal contract of employment with the University.

6. For examinations where no internal examiner has been appointed, the department is required to nominate an examination advisor to advise and assist the examiners with University and departmental procedures. A Head of Department may choose to nominate an examination advisor for any research degree examination. An advisor shall be a member of staff from the student's Department, School or Faculty. The advisor may chair and maintain a record of the oral examination but shall not otherwise participate in the examination process.

7. A student's supervisor may not be involved in the examination. A supervisor is not entitled to attend the oral examination and may normally only be present at the request of the examiners. If present, the supervisor shall play no part in the oral examination.

### **38.7 Examination process**

The method of examination for each research degree is set out in [Annex 1](#) to this Regulation, Requirements for Research Degrees. This Annex also specifies whether an oral examination is required for each degree.

1. Each examiner is required to make an independent report prior to any oral examination on the work submitted. Both examiners shall be present at any oral examination.

2. In all cases, even if an oral examination is not held, the examiners are required to complete a joint report with a final joint recommendation. The reports shall be sent to the Graduate School. The examiners' reports shall be treated at all times as confidential to those involved in the examination process, any appeal process, the Head of Department, Director of Graduate Studies, the supervisor and the student.

3. The recommendations of examiners are subject to approval by the Chair of the Graduate Studies Committee of the Board of the appropriate Faculty. Degrees by research are awarded by the Senate.

4. If, at any point, the examiners suspect a candidate of cheating as defined under University Regulation 11 governing the Procedure to be Adopted in the Event of Suspected Cheating in a University Test, the examination process shall be stopped. The case will be referred to the Head of Department as set out in Regulation 11.

#### *Appointment of external adjudicator*

5. If the examiners are unable to agree a joint recommendation, or if for any other reason a further opinion is required on the work submitted, the Chair of the Board of Graduate Studies may appoint an external adjudicator.

The adjudicator shall be appointed on the recommendation of the Head of the appropriate department after consultation with the original external examiner. A fee is payable to adjudicators.

6. The adjudicator shall consider the work submitted and will also be sent the reports of the original examiners. The adjudicator shall make an independent report which shall conclude with one of the recommendations available to the examiners, as set out below.

7. The adjudicator's report shall be sent, together with the original examiners' reports, to the Academic Registrar for consideration by the Chair of the appropriate Graduate Studies Committee. The recommendation of the adjudicator will normally prevail.

### **38.8 Decisions of the examiners**

1. The examiners shall reach one of the decisions listed below and set out their recommendation in their joint report.

(a) That the degree be awarded.

(b) That the degree be awarded, subject to minor amendments or corrections as defined in 8.3 below. In this instance, the examiners should advise the student of the required corrections and the deadline.

(c) (MA, MSc and LLM by research) that the thesis (or exceptionally a revised thesis submitted within a prescribed period) be re-examined for the degree of MPhil.

(d) (MPhil only) that the thesis (or exceptionally a revised thesis submitted within a prescribed period) be reexamined for the degree of PhD.

(e) (MA, MSc, LLM only) that the degree be awarded with Distinction.

(f) That the degree be not awarded, but that the student be permitted to submit a revised thesis. The examiners must set a deadline for resubmission of the thesis, within a maximum of 12 months from official notification by the University. In the case of a PhD by published work, the examiners may permit the submission of a revised covering document and/or a different selection of published material.

(g) That a degree of lower status be awarded. The degrees available are listed below. The award of a degree may be subject to minor amendments as defined in 8.3 below. In this instance, the examiners should advise the student of the required corrections.

PhD; the degrees of MPhil or the appropriate Masters degree by Research may be

awarded. MD; the degree of MMedSci may be awarded

EngD; the degrees of MPhil or MSc by Research in Engineering may be awarded

EdD; the degree of MA or MSc by Research in Education or in Applied Linguistics and English Language Teaching

LLM; the Diploma in Legal Studies.

(i) That no degree be awarded.

2. A student shall normally be permitted to resubmit a thesis on one occasion only.

### *Minor amendments or corrections*

3. Minor amendments or corrections must be completed by the candidate to the satisfaction of the internal examiner. Minor corrections should not entail a significant amount of further research or analysis. The examiners must specify the time available for completion of the corrections, up to a maximum of three months. The internal examiner shall ensure that the one copy of the thesis has been amended. In the case of a PhD by published work, the examiners may require minor amendments to the covering document.

## **38.9 Right of appeal and permitted grounds for**

### **appeal** *Following final examination*

1. If the examiners reach one of the decisions set out below, a student has the right of appeal within 42 days of notification.

- (a) If no qualification is awarded
- (b) If a lower qualification than that for which the student is registered is awarded

2. Appeals may only be made on one or more of the following grounds:

- (a) There is evidence of exceptional circumstances that affected the student's performance. The student is required to provide an explanation why the evidence was not available when the examiners or the external adjudicator reached their decision.
- (b) There appear to have been procedural irregularities in the conduct of the examination.
- (c) There appears to be evidence of prejudice or of bias during the examination process.
- (d) There appears to be evidence of inadequacy of supervisory or other arrangements during the student's enrolment at the University. In this instance, the student is required to explain why they did not make a complaint at an earlier stage.

Appeals made on grounds covered by (a) and (d) will be rejected if the student does not provide an explanation for the failure to provide the evidence before the examination process.

### *Following an upgrade process*

3. If a department decides that a student be allowed to continue his/her registration only for the degree of MPhil rather than upgrading to PhD, the student has the right to appeal against this decision within 42 days of notification.

4. Appeals may only be made on one or more of the following grounds:

- (a) There is evidence of exceptional circumstances that affected the student's performance. The student is required to provide an explanation why the evidence was not available before the upgrading process.
- (b) There appear to have been procedural irregularities in the conduct of the upgrading process.
- (c) There appears to be evidence of prejudice or bias during the upgrading process.
- (d) There appears to be evidence of inadequacy of supervisory or other arrangements during the student's enrolment at the University. In this instance, the student is required to explain why they did not make a complaint at an earlier stage.

Appeals made on grounds covered by (a) or (d) will be rejected if the student does not provide an explanation for failure to provide the evidence during the upgrading process.

*Following the recommendation of the Board of Examiners for the taught component of a research degree*

5. If a Board of Examiners requires a student to withdraw from a research degree following the examination of the taught component, the student has the right of appeal within 42 days of notification.

6. Appeals may only be made on one or more of the following grounds:

(a) There is evidence of exceptional circumstances that affected the student's performance. In this instance, the student is required to provide an explanation why the evidence was not available at the meeting of the Board of Examiners.

(b) There appears to be evidence of procedural irregularities in the examination process.

(c) There appears to be evidence of prejudice or bias during the examination process.

(d) There appears to be evidence of inadequacy of supervisory or other arrangements during the student's enrolment at the University. In this instance, the student is required to explain why they did not make a complaint at an earlier stage.

Appeals made on grounds covered by (a) or (d) will be rejected if the student does not provide an explanation for failure to provide the evidence for consideration by the Board of Examiners.

### **38.10 Appeals process**

1. All appeals will first be considered by a Preliminary Review panel which decides whether the evidence presented constitutes grounds for an appeal.

2. All written evidence should be made available to both the appellant and the department.

3. At any point during the appeals process, the student and department are permitted to agree a resolution that meets the student's concerns, provided the terms of any agreement are acceptable under the University's regulations.

*Constitution of the Preliminary Review Panel and Graduate Appeals Committee*

4. The constitution of a Preliminary Review Panel and Graduate Appeals Committee are set out below. Membership of the Preliminary Review Panel and the Appeals Committee may not include any member of staff from the student's department, or any member of staff who has taught on modules taken by the student or is involved in the appeal in another capacity.

*Preliminary Review Panel*

A Preliminary Review Panel shall comprise two of the following:

(a) a Pro-Vice-Chancellor;

(b) the Chair (or Deputy Chair) of the Board of Graduate Studies;

(c) the Chair (or Deputy Chair) of a Faculty Graduate Studies Committee or the Board of a Faculty other than that in which the student is based.



## Graduate Appeals Committee

The Graduate Appeals Committee shall be appointed by the Vice-Chancellor with the following membership:

- (a) Chair: the Chair (or Deputy Chair) of the Board of a Faculty other than that in which the student is based, the Chair (or Deputy Chair) of the Board of Graduate Studies or a Pro-Vice-Chancellor.
- (b) No fewer than two members drawn from a panel of up to 20 members appointed by the Senate on the recommendation of the Faculty Boards.

The membership of the Appeals Committee will include at least one person from the Preliminary Review Panel.

The dates of the meetings of the Graduate Appeals Committee shall be published by the University.

### *Preliminary Review Panel stage*

5. The Preliminary Review Panel must decide whether the evidence presented constitutes grounds for an appeal as set out in 9 above. The Preliminary Review Panel must not otherwise seek to determine the merits of the appeal.

6. The Preliminary Review Panel must reject an appeal if it decides that:

- (a) The student has not put forward any grounds for appeal, as allowed in Section 9.
- (b) For appeals on the basis of exceptional circumstances affecting the student's performance or a complaint about the course, the student has not put forward an explanation for the failure to make the evidence available before the examination or upgrade process, or the meeting of the Board of Examiners.

7. Where the Preliminary Review Panel considers that the evidence provided constitutes grounds for an appeal, the case will be considered by a Graduate Appeals Committee.

8. The student and department will be notified of the reasons for the Preliminary Review Panel's

decision. *Graduate Appeals Committee stage*

9. The student will be given at least 10 working days notice of the date of the Appeals Committee.

10. The Graduate Appeals Committee may take evidence from the Head of the student's Department, the appellant's supervisor, the Chair of the upgrading panel and such other persons as it deems appropriate. The Head of Department, or his/her authorised deputy, must be available when the appeal is being considered to advise the Committee on departmental procedures and other relevant matters arising in the course of the hearing.

### **38.11 Decisions open to a Graduate Appeals Committee**

1. The Graduate Appeals Committee may make one of the decisions set out below. In all cases the Committee must notify the appellant and the department of the reasons for its decision. The decision of a Graduate Appeals Committee is final.

#### *Following final examination*

2. The Graduate Appeals Committee may

decide: (a) To reject the appeal

(b) To recommend to the examiners that, for the reasons given, they should reconsider their decision. This would be appropriate if the appeal is upheld on the basis of procedural irregularity or because there is evidence of issues that affected the student's performance that was not available to the examiners.

(c) To permit the student to submit a revised and final version of the work for examination within a specified period of time.

(d) That the work should be re-examined.

3. If the Graduate Appeals Committee decides that the work should be re-examined, new examiners shall be appointed to conduct the re-examination in line with the procedures for the appointment of examiners in Section 6. The joint recommendation of the new examiners will normally prevail.

*Following an upgrade process*

4. The Graduate Appeals Committee may decide:

(a) To reject the appeal

(b) To recommend to the department that, for the reasons given, the upgrading panel should reconsider its decision. This would be appropriate if the appeal is upheld on the basis of procedural irregularity or because there is evidence of issues that affected the student's performance that was not available to the examiners.

(c) To permit the student to submit a revised and final version of the work for the upgrading process within a specified period of time.

(d) That the work should be re-considered by an upgrading panel with the same or an alternative membership. The decision of the new upgrading panel will normally prevail.

*Following the recommendation of the Board of Examiners for the taught component of a research degree*

5. The Graduate Appeals Committee may decide:

(a) To reject the appeal

(b) To recommend to the Board of Examiners that, for the reasons given, the Board should reconsider its decision. The Graduate Appeals Committee may advise the Board of Examiners as follows:

(i) to permit the student to proceed to the next part of the course;

(ii) to permit the student to be re-examined or to resubmit specified assessed work within a reasonable period;

(iii) to permit the student to submit revised work within a reasonable period;

(iv) to take into account any advice relevant to the student's circumstances

6. If the Graduate Appeals Committee recommends that the Board of Examiners reconsider its decision, the Board of Examiners should do so within three months of the meeting of the Graduate Appeals Committee.

7. After considering the decision of the Graduate Appeals Committee, the decision of the Board of Examiners shall be final.

# Annex 1 – Requirements for the award of Research Degrees

*The Regulation on Research Degrees covers the qualifications listed below. The criteria for the award of each research degree and any specific requirements for the examination process for each research degree are set out below.*

*Maximum word limits are given for each degree. If a student wishes to present a longer thesis for examination, s/he is required to seek permission from the Chair of the Board of Graduate Studies before submitting the thesis. Any such request should be supported by an explanation of the need for an extension to the word limit and a statement from the student's supervisor. Students are not required to indicate the length of their thesis upon submission. However, the examiners may require the student to specify the length of the thesis.*

## **1. Doctor of Philosophy (PhD)**

- 1.1 To satisfy the requirements of the degree of PhD, a thesis must constitute a substantial original contribution to knowledge and is, in principle, worthy of peer-reviewed publication. The thesis shall be clearly and concisely written and well argued and shall show a satisfactory knowledge of both primary and secondary sources. It shall contain a full bibliography and, where appropriate, a description of methods and techniques used in the research.
- 1.2 The maximum length of the thesis is 70,000 words in the Faculty of Science and 80,000 words in the Faculties of Arts, Medicine and Social Studies. These limits are exclusive of appendices, footnotes, tables and bibliography.
- 1.3 In the Faculties of Arts and Social Studies an appendix may contain material that functions as data to supplement the main argument of the thesis. This may not contain material that is an essential or integral part of the thesis. The total length of all appendices combined may not exceed 5,000 words in length.
- 1.4 A student must attend an oral examination, which shall cover the thesis itself and the field of study in which the thesis has been written. The examiners may also require the student to take a written and/or practical examination. The student must complete satisfactorily the oral examination and written and/or practical examination, in order to satisfy the requirements for the degree.

## **2. PhD to be Awarded for the Submission of Published Work**

- 2.1 Candidates for the degree of PhD by submission of published work must be:
  - (a) members of academic staff or administrative or library staff of equivalent status of the University, who have normally been employed by the University for at least three years immediately prior to the submission of published work, and graduates of at least seven years' standing normally holding a Bachelor's degree or equivalent; or
  - (b) graduates of at least seven years' standing normally holding a Bachelor's degree or equivalent.
- 2.2 A member of staff seeking admission to this degree is required to follow the application process set out by the Student Admissions and Recruitment Office. The request for admission shall be considered by the Chair of the Board of Graduate Studies in consultation with the Heads of the appropriate Departments or Schools and the Chair of the Graduate Studies Committee of the relevant Faculty. Candidates admitted under 2.1 (a) are required to register for a minimum of three months. Those admitted under 2.1 (b) are required to register for a minimum of six months. The Head of the appropriate Department or School will appoint an academic advisor to provide guidance to the candidate on the presentation of the published work.
- 2.3 A candidate must submit for examination two copies of material from a nominated field of study together with a covering document of 5,000 - 10,000 words. The covering document must explain the inter-relationship between the material presented and the significance of the published works as a contribution to original knowledge within the relevant fields. In addition, the covering document must include, as an appendix, a full bibliography of all the work published by the candidate. A candidate may include with their submitted material work that has not been published only with the prior approval of the Chair of the Board of Graduate Studies.
- 2.4 Candidates are required:
  - (a) to declare that the submitted material as a whole is not substantially the same as published or unpublished material that they have previously submitted, or are currently submitting, for a degree, diploma, or similar qualification at any university or similar institution;
  - (b) to state which parts if any of the work or works submitted have previously been submitted for any such qualification; and
  - (c) where the work submitted includes work conducted in collaboration with others, to provide a written

statement on the extent of the candidate's individual contribution to the material and the conditions and circumstances under which the work was carried out. This statement should normally be signed by all collaborating parties.

- 2.5 In order to be eligible for the award of the degree of PhD, the submitted material must constitute a substantial original contribution to knowledge.
- 2.6 The material submitted shall be examined by two external examiners appointed by the Chair of the Board of Graduate Studies on the recommendation of the Head of the appropriate Department or School. In the case of collaborative work the examiners must satisfy themselves that the submitted material attributed to the candidate constitutes a substantial original contribution to knowledge.
- 2.7 A candidate shall be required to undergo an oral examination which shall be on the submitted material itself and the related general field of study.
- 2.8 The examination and appeals processes set out in the Regulation on Research Degrees apply to submissions for the degree of PhD by Published Work.
- 2.9 One copy of the work submitted in support of a successful application shall be retained by the University and deposited in the Library.

### **3. Engineering Doctorate (EngD)**

- 3.1 Students are normally required to follow taught modules as set out in the Course Regulations. Exemptions may be granted under the University's AP(E)L procedure by the Chair of the Board of Graduate Studies if a student has completed relevant study elsewhere or has substantial industrial experience.
- 3.2 Students are required to submit a portfolio of work. The precise requirements for the portfolio are set out in the Course Regulations. Students are also required to pass an oral examination to be conducted by the Panel of Examiners.
- 3.3 In order to be eligible for the award of the degree of Doctor of Engineering, candidates must demonstrate innovation in the application of knowledge to the engineering business environment. In addition they must demonstrate the following competences: expert knowledge of an engineering area; the appreciation of industrial engineering and development culture; project and programme management skills; teamwork and leadership skills; oral and written communication skills; technical organisational skills; financial engineering project planning and control; the ability to apply their skills to new and unusual situations; the ability to seek optimal, viable solutions to multi-faceted engineering problems and to search out relevant information sources.
- 3.4 For the degree of EngD, a Panel of three Examiners shall be nominated. This shall normally include at least one external examiner, one industrial external examiner and one internal examiner.

### **4. Doctor of Education (EdD)**

- 4.1 Students are normally required to follow taught modules as set out in the Course Regulations.
- 4.2 Students are required to submit a research thesis. In the Institute of Education this may take the form of one study of a maximum of 50,000 words or two studies each of no more than 20,000 words in length, inclusive of appendices, footnotes, tables and bibliography. In the Centre for Applied Linguistics this shall take the form of a research thesis of a maximum of 50,000 words, exclusive of appendices, footnotes, tables and bibliography.
- 4.3 To satisfy the requirements for the degree of Doctor of Education the thesis shall constitute an original contribution to knowledge which is, in principle, worthy of publication in a peer-reviewed journal. The thesis shall be clearly and concisely written and well argued and shall show a satisfactory knowledge of both primary and secondary sources. In addition, it shall contain a full bibliography and, where appropriate, a description of the methods and techniques used in the research.
- 4.4 A candidate shall be required to present himself/herself for an oral examination, which shall cover the thesis itself and the field of study in which the thesis has been written. The research thesis will be examined only after all other requirements for the degree have been met. The candidate shall be required to complete satisfactorily the oral examination in order to satisfy the requirements for the degree.

## **5. European Doctorate**

A European Doctorate may be awarded in any subject or subjects otherwise approved for the award of a PhD or other doctoral degree provided that the following additional requirements have been satisfied:

- (a) The candidate must have been resident and undertaking research in another European country for not less than ten consecutive weeks during his or her period of registration.
- (b) The examiners conducting the examination of the thesis must include at least two persons from universities or other institutions of higher education in two separate European countries other than the UK.
- (c) Part of the oral examination of the thesis must have been conducted in a European language other than English, normally an official language of a European country.

## **6. Doctor of Medicine (MD)**

- 6.1 In order to be eligible for admission to the degree of Master of Surgery or Master of Medical Science (MMedSci) a candidate must hold a degree entitling him/her to, or recognised for, any form of registration with the General Medical Council for the United Kingdom.
- 6.2 To satisfy the requirements of the degree of Doctor of Medicine a thesis shall constitute a substantial original contribution to medical knowledge which is, in principle, worthy of publication. The thesis shall be clearly and concisely written and well argued and shall show a satisfactory knowledge of both primary and secondary sources. In addition, it shall contain a full bibliography and, where appropriate, a description of methods and techniques used in the research.
- 6.3 The maximum length of the thesis is 70,000 words, exclusive of appendices, footnotes, tables and bibliography.
- 6.4 A student must attend an oral examination, which shall cover the thesis itself and the field of study in which the thesis has been written. The examiners may also require the student to take a written and/or practical examination. The student must complete satisfactorily the oral examination and written and/or practical examination, in order to satisfy the requirements for the degree.
- 6.5 Examiners will be appointed in line with the Regulation on Research Degrees. One of the examiners must be medically qualified.

## **7. Master of Surgery (MS) and Master of Medical Science (MMedSci)**

- 7.1 In order to be eligible for admission to the degree of Master of Surgery or Master of Medical Science (MMedSci) a candidate must hold a degree entitling him/her to, or recognised for, any form of registration with the General Medical Council for the United Kingdom.
- 7.2 To satisfy the requirements of the degrees of Master of Surgery or Master of Medical Science, a thesis shall be clearly and concisely written, show evidence of originality in knowledge and in interpretation, and shall also be judged on its scholarly presentation. In addition it shall contain a full bibliography.
- 7.3 The maximum length of the thesis is 40,000 words, exclusive of appendices, footnotes, tables and bibliography.
- 7.4 Examiners will be appointed in line with the Regulation on Research Degrees. One of the examiners must be medically qualified.

## **8. Master of Philosophy (MPhil)**

- 8.1 To satisfy the requirements of the degree of MPhil a thesis shall constitute an original contribution to knowledge. The thesis shall be clearly and concisely written and well argued and shall show a satisfactory knowledge of both primary and secondary sources. In addition it shall contain a full bibliography and, where appropriate, a description of methods and techniques used in the research.
- 8.2 The maximum length of the thesis is 60,000 words, exclusive of appendices, footnotes, tables and bibliography. In the Faculty of Arts an appendix may contain material that functions as data to supplement the main argument of the thesis, and may not contain material that is an integral part of the thesis. An appendix may not exceed 5,000 words in length unless permission to exceed this length is given by the Board of Graduate

Studies.

- 8.3 A student must attend an oral examination, which shall cover the thesis itself and the field of study in which the thesis has been written. The examiners may also require the student to take a written and/or practical examination. The student must complete satisfactorily the oral examination and written and/or practical examination, in order to satisfy the requirements for the degree.

**9. Master by Research (MA, MSc, LLM)**

- 9.1 To satisfy the requirements of the degree of Master by Research, a thesis shall be clearly and concisely written, show evidence of originality in knowledge and in interpretation, and shall also be judged on its scholarly presentation. In addition it shall contain a full bibliography.
- 9.2 The maximum length of the thesis is 40,000 words, exclusive of appendices, footnotes, tables and bibliography.
- 9.3 The examiners may require the candidate to attend an oral examination. If an oral examination is held, this must be completed satisfactorily in order to meet the requirements for the award of the degree.

# Regulation 11 Procedure to be Adopted in the Event of Suspected Cheating in a University Test

## *Definitions:*

*In these Regulations 'cheating' means an attempt to benefit oneself or another, by deceit or fraud. This shall include reproducing one's own work or the work of another person or persons without proper acknowledgement.*

## *Faculty Board and Departmental Instructions*

*Each Faculty Board or Department, School, or Graduate School may issue instructions containing more specific definitions to apply in that Faculty or Department, School or Graduate School in the assessment of work not undertaken under invigilated examination conditions.*

*In these Regulations the words 'department' or 'departmental' include as appropriate Schools, or Graduate Schools of the University.*

## **(A) Tests Conducted under Examination Conditions as Laid Down in the University Regulations for the Invigilation of Examinations**

(1) Regulation 10.3 (7) of the Regulations for the Invigilation of Examinations states that 'Where an invigilator suspects a candidate of cheating the invigilator shall, after informing and consulting with the other invigilator(s), warn the candidate that a report will be made. The candidate shall then be permitted to finish the paper. A full report of the circumstances shall be made to the Academic Registrar immediately after the examination.'

Accordingly, the student shall be warned that a report will be made to the Academic Registrar, and shall be informed that he/she may make a written statement, to be submitted to the Academic Registrar, before the meeting of an Investigating Committee. The student shall be provided by the Academic Registrar with a statement of the allegations made against him/her, together with copies of any supporting evidence, at least five days before the meeting of the Investigating Committee.

(2) The invigilator's report and the student's statement, if any, shall be considered by an Investigating Committee of the Senate, whose membership shall be appointed by the Vice-Chancellor (or his nominee) and shall be chaired by the Chair of a Faculty Board or the Chair of a Faculty Undergraduate or Graduate Studies Committee (as appropriate) other than that of the student's faculty (or his/her nominee), together with not fewer than two members drawn from a panel of up to twenty members appointed by the Senate on the recommendation of the Faculty Boards (up to five nominees per faculty, panel members to serve for a period of three years). The Investigating Committee shall not include any member of the student's department. The Head(s) of the Department(s) responsible for the module(s) concerned (or his/her authorised deputy) shall present the case and shall have a right to call the invigilators and/or other witnesses to appear before the Committee. The Chair of the appropriate Examiners' Board (or his/her authorised deputy where the Chair of the Examiners' Board is also the Head of the Department responsible for the module(s) concerned) shall be in attendance in an advisory capacity.

(3) If he/she wishes, the student shall have the right to appear before the Investigating Committee, and he/she may invite any one other person to attend the Committee. The name and status of any person accompanying the student must be notified to the Chair of the Investigating Committee via the Academic Registrar in advance of the meeting. The student shall also have the right to request witnesses to appear before the Committee and/or to provide the Committee with a written statement prior to its meeting.

(4) If the Investigating Committee is not satisfied that the candidate has cheated, he/she shall be informed and the matter shall end there. The Chair of the Investigating Committee may also take Chair's action to dismiss a case prior to any committee meeting if s/he judges that there is no case to answer.

(5) If the Investigating Committee is satisfied that cheating has taken place it shall determine the penalty and inform the appropriate Board of Examiners and the student accordingly. The maximum penalty shall not normally exceed a mark of zero in that examination paper, (if appropriate, with or without the opportunity to resit the paper), but in appropriate cases the Committee shall have the power to impose a more severe penalty, it being understood that such a penalty would be imposed without prejudice to the provisions of the Disciplinary

Regulations. The Investigating Committee may refer cases it considers appropriate to the University Discipline Committee, the sanctions available to the Discipline Committee including termination of the student's registration.

(6) (a) The student shall have the right of appeal against either the decision of the Investigating Committee or the penalty, to an appeal committee appointed by the Vice-Chancellor (or his nominee), consisting of a Pro-Vice-Chancellor (as Chair) together with not fewer than two of the Chairs of the Faculty Boards or two of the Chairs of the Faculty Undergraduate or Graduate Studies Committees, as appropriate (or their nominees). No member of the relevant Investigating Committee shall also be a member of the appeal committee. Any appeal must be submitted in writing to the Academic Registrar within ten days of the notification of the Investigating Committee's decision to the student.

(b) The appeal committee will consider appeals from students made on the following grounds:

(i) that there was a material irregularity or failure in procedure in the conduct of the original hearing before the Investigating Committee;

(ii) that relevant evidence has come to light which the appellant was unable to present to the Investigating Committee at the original hearing;

(iii) that in light of new evidence the penalty imposed by the Investigating Committee is excessive in relation to the offence committed.

(c) Appeals shall be considered initially by the Chair of the appeal committee in consultation with one other member of the committee to establish that a prima facie case for appeal exists. Appeals shall not be considered where, in the opinion of the Chair and the consulted member of the appeal committee, the appellant has failed to bring the appeal within any of the grounds listed under (b)(i) - (iii) above.

(d) If he/she wishes, the appellant shall have the right to appear before the appeal committee, and he/she may invite any one other person to attend the Committee. The name and status of any person accompanying the student must be notified to the Chair of the committee via the Academic Registrar in advance of the meeting.

(e) The Head(s) of the Department(s) responsible for the module(s) concerned (or his/her authorised deputy) shall be at the committee and shall be invited to present a response to the appeal.

(f) If required, the Chair of the Investigating Committee shall be asked to attend the appeal committee to answer any questions concerning the Investigating Committee's original decision, but shall attend for this purpose only and shall not remain present throughout the appeal hearing.

(g) The appeal committee shall have power to confirm or to set aside the decision of the Investigating Committee, or to set aside or vary the penalty imposed by the Investigating Committee. The decisions of the appeal committee shall be final and shall be communicated to the secretary of the appropriate Board of Examiners.

(7) An examiner who when marking examination scripts suspects that cheating has taken place shall consult the Head of his/her Department. If the Head of Department considers that cheating has occurred according to the definitions set out in University Regulations and/or his/her Faculty's instructions, he/she shall make a full report to the Academic Registrar and shall warn the student that this report has been made. He/she shall also inform the student that he/she may make a written statement to be submitted to the Academic Registrar before the meeting of the Investigating Committee. The procedure thereafter shall be governed by paragraphs (A)(2)-(6) above.

#### **(B) Essays, Dissertations, Reports and Other Assessed Work, not Undertaken under Examination Conditions as Laid Down in the University Regulations for the Invigilation of Examinations**

(1) Where there is suspicion that a candidate or former candidate has reproduced in a University assessment his/her own work which has previously been submitted for assessment or work of another person or persons without proper acknowledgement, the Head(s) of the Department (or the Head's authorised deputy) responsible for the module(s) concerned shall be consulted. This procedure shall also apply to work formally submitted by candidates for a research degree as part of the annual review or upgrade process.



(2) If the Head of the Department (or his/her authorised deputy) considers that an offence may have occurred according to the definition set out in the University Regulations or Faculty or departmental instructions, he/she shall (other than in the circumstances set out in paragraphs (3) and (4) below) either:

(a) Make a full report to the Academic Registrar, thereby invoking the procedures set out in paragraphs (5)-(9) below; or

(b) Exercise his/her discretion to pursue the matter without reference to an Investigating Committee, in which case he/she shall inform the student of the allegation and provide the student with reasonable opportunity to make representations on his/her own behalf, before determining whether an offence has occurred and, if so, determining the appropriate penalty, which shall not exceed a mark of zero in the piece of work to which the offence relates (with or without the opportunity to resubmit or undertake a further assessment). The student, having been informed of the penalty, may choose either:

(i) to accept the penalty as a final decision in which case a report of the circumstances of the case and level of penalty exacted shall be lodged by the Head (or his/her authorised deputy) with the Secretary of the appropriate Board of Examiners; or

(ii) request, within ten days of being informed by the Head of Department of the penalty, that the matter is considered by an Investigating Committee, thereby invoking procedures (5)-(9) below, whereupon the Head (or his/her authorised deputy) shall make a report to the Academic Registrar. In exceptional circumstances the Head of Department may consider a request submitted after ten days.

(3) In the event that the examiners for a higher degree by research suspect a candidate of cheating, the examination process shall be stopped. The internal examiner or examination advisor shall inform the Head of Department of the allegation. The Head of Department shall make a full report to the Academic Registrar, thus invoking the procedures set out in paragraphs (5)-(9) below.

(4) Where the alleged offence relates to an assessment which contributed to the previous approval of an academic award or honour to the candidate, the Head of Department (or his/her authorised deputy) shall make a full report to the Academic Registrar, thus invoking the procedure set out in paragraphs (5)-(9) below.

(5) In all cases where a report has been submitted by the Head of Department (or his/her authorised deputy) to the Academic Registrar, the Head (or his/her authorised deputy) shall warn the student that this report has been made, and inform him/her that he/she may make a written statement to be submitted to the Academic Registrar before the meeting of an Investigating Committee. The student shall be provided by the Academic Registrar with a statement of the allegations made against him/her, together with copies of any supporting evidence, at least five days before the meeting of the Investigating Committee.

(6) The reports shall be considered by an Investigating Committee of the Senate, whose membership shall be appointed by the Vice-Chancellor (or his nominee) and shall be chaired by the Chair of a Faculty Board or the Chair of a Faculty Undergraduate or Graduate Studies Committee (as appropriate) other than that of the student's faculty (or his/her nominee), together with not fewer than two members drawn from a panel of up to twenty members appointed by the Senate on the recommendation of the Faculty Boards (up to five nominees per faculty, panel members to serve for a period of three years). The Investigating Committee shall not include any member of the student's department. In considering the case the Investigating Committee shall take into account the Faculty and/or departmental instructions in relation to assessed work as well as the definitions in relation to cheating set out in University Regulations. The Head(s) of the Department(s) responsible for the module(s) concerned (or his/her authorised deputy) shall present the case and shall have a right to call witnesses to appear before the Committee. The Chair of the appropriate Examiners' Board (or his/her authorised deputy where the Chair of the Examiners' Board is the Head of the Department responsible for the module(s) concerned) shall be in attendance in an advisory capacity.

(7) If he/she wishes, the student shall have the right to appear before the Investigating Committee, and he/she may invite any one other person to attend the Committee. The name and status of any person accompanying the student must be notified to the Chair of the Investigating Committee via the Academic Registrar in advance of the meeting. The student shall also have the right to request any witnesses to appear before the Committee and/or to provide the Committee with a written statement prior to its meeting.

(8) If the Investigating Committee is not satisfied that an offence has taken place, the student shall be informed and the matter shall end there. The Chair of the Investigating Committee may also take Chair's action to dismiss a case prior to any committee meeting of s/he judges that there is no case to answer.

(9) If the Investigating Committee is satisfied that an offence has taken place it shall:

(a) determine the penalty and inform the secretary of the appropriate Board of Examiners and the student accordingly. The maximum penalty shall not normally exceed a mark of zero in that unit of study\* in which the piece of work is being assessed (with or without the opportunity to resubmit or undertake a further assessment) but in appropriate cases the Committee shall have the power to impose a more severe penalty, it being understood that such a penalty would be imposed without prejudice to the provisions of the Disciplinary Regulations. The Investigating Committee may refer cases it considers appropriate to the University Discipline Committee, sanctions available to the Discipline Committee including termination of the student's registration, or

(b) where the offence relates to an assessment which contributed to the previous approval of an academic award or honour to the candidate, make such recommendations to the Senate (or to the Senate Steering Committee acting on the Senate's behalf) to take such action under University Statutes, Ordinances and Regulations as it may consider appropriate (including that the previous academic award or honour to the candidate should be revoked).

(10) (a) The student shall have the right to appeal against either the decision of the Investigating Committee or the penalty, to an appeal committee appointed by the Vice-Chancellor (or his nominee), consisting of a Pro-Vice-Chancellor (as Chair) together with not fewer than two of the Chairs of the Faculty Boards or two of the Chairs of the Faculty Undergraduate or Graduate Studies Committees, as appropriate (or their nominees). No member of the relevant Investigating Committee shall also be a member of the appeal committee. Any appeal must be submitted in writing to the Academic Registrar within ten days of the notification of the Investigating Committee's decision to the student.

(b) The appeal committee will consider appeals from students made on the following grounds:

(i) that there was a material irregularity or failure in procedure in the conduct of the original hearing before the Investigating Committee;

(ii) that relevant evidence has come to light which the appellant was unable to present to the Investigating Committee at the original hearing;

(iii) that in light of new evidence the penalty imposed by the Investigating Committee is excessive in relation to the offence committed.

(c) Appeals shall be considered initially by the Chair of the appeal committee in consultation with one other member of the committee to establish that a prima facie case for appeal exists. Appeals shall not be considered where, in the opinion of the Chair and the consulted member of the appeal committee, the appellant has failed to bring the appeal within any of the grounds listed under (b)(i) - (iii) above.

(d) In considering any appeal the appeal committee shall take into account the definitions in relation to cheating set out in the University Regulations, and, if relevant, the Faculty and/or departmental instructions in relation to assessed work.

(e) If he/she wishes, the appellant shall have the right to appear before the appeal committee, and he/she may invite any one other person to attend the committee. The name and status of any person accompanying the student must be notified to the Chair of the committee via the Academic Registrar in advance of the meeting.

(f) The Head(s) of the Department(s) responsible for the module(s) concerned (or his/her authorised deputy) shall be at the committee and shall be invited to present a response to the appeal.

(g) If required, the Chair of the Investigating Committee shall be asked to attend the appeal committee to answer any questions concerning the Investigating Committee's original decision, but shall attend for this purpose only and shall not remain present throughout the appeal hearing.

(h) The appeal committee shall have power to confirm or to set aside the decision of the Investigating Committee, or to set aside or vary the penalty imposed by the Investigating Committee. The decisions of the appeal committee shall be final and shall be communicated to the secretary of the appropriate Board of Examiners.

(11) In cases where cheating is proven and the circumstances are such that it is appropriate for the University to inform a regulatory body for the student's intended profession of the finding, the Academic Registrar shall be responsible for informing the regulatory body.

*\*A unit of study is defined as that part of a student work load, in a given year, which is allocated an approved separate examination weighting by the appropriate body.*