

**REGULATIONS FOR RESEARCH DEGREES**

**2020/2021**

**Graduate School**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Title: Regulations for Research Degrees** | | | | | |
| **Version** | **Issue Date** | **Revision Description** | **Author** | **Approved By & Date** | **Next Review Date** |
| 1.0 | Sept. 2019 | First Issue | Elaine Huntley | Academic Board and Quality Assurance Committee  Sept. 2019 | May 2021 |

These regulations are also available through the medium of Welsh

|  |  |  |
| --- | --- | --- |
| **Contents** | | |
| **1.** | **Postgraduate Research Degree Awards** | **6** |
| 1.1 | General principles | 6 |
|  | * *Research Degrees Committee* | *7* |
|  | * *Faculty Research Degrees Committee* | *7* |
|  | * *Faculty Research Ethics Committee* | *7* |
|  | * *Faculty Progress Board* | *7* |
|  | * *Graduate School* | *7* |
| 1.2 | Postgraduate research degree awards granted by the University | 8 |
| 1.3 | Qualification descriptors | 8 |
|  | * *Doctorate* | *8* |
|  | * *Masters* | *8* |
|  | * *Diploma* | *9* |
| 1.4 | Research degree by thesis | 9 |
| 1.5 | Research degree involving creative works | 9 |
| 1.6 | PhD by publication | 9 |
| 1.7 | PhD by portfolio | 10 |
| 1.8 | Professional doctorates | 11 |
| 1.9 | Collaboration with other bodies | 11 |
| **2.** | **Selection and Admission** | **12** |
| 2.1 | Selection principles | 12 |
| 2.2 | General entry requirements | 13 |
|  | * *Additional requirements for Professional Doctorates* | *13* |
|  | * *Additional requirements for PhD by publication* | *13* |
|  | * *Additional requirements for PhD by portfolio* | *14* |
|  | * *Additional requirements for direct entry to PhD* | *14* |
|  | * *Requirements for transfer from another University* | *14* |
| 2.3 | English Language requirements | 15 |
| 2.4 | Consideration of applications | 15 |
| **3.** | **Postgraduate Research Candidate Enrolment and Project Registration** | **16** |
| 3.1 | Initial enrolment and project registration | 16 |
| 3.2 | Induction and orientation | 17 |
| 3.3 | Project registration period | 17 |
|  | * *‘Writing-up’ status* | *18* |
| 3.4 | Changes to enrolment and project registration | 19 |
|  | * *Interruption to studies* | *19* |
|  | * *Extension to project registration* | *20* |
|  | * *Request to withdraw from studies* | *20* |
| 3.5 | Student engagement | 20 |
|  | * *Time spent doing research* | *20* |
|  | * *Expected attendance* | *20* |
|  | * *Data collection away from the University* | *21* |
|  | * *Authorised absence* | *21* |
|  | * *Annual leave* | *21* |
|  | * *Research students who teach* | *22* |
| 3.6 | Discontinuation of studies | 22 |
|  | * *Grounds for discontinuation of studies* | *22* |
|  | * *Where a candidate has become inactive* | *23* |
| 3.7 | Other requirements and conditions of enrolment and project registration | 23 |
| **4.** | **Supervision** | **25** |
| 4.1 | Supervisory teams | 25 |
|  | * *Composition* | *25* |
|  | * *Eligibility to supervise* | *25* |
|  | * *Director of Studies* | *25* |
| 4.2 | Supervisory capacity | 26 |
| 4.3 | Supervision process | 27 |
| **5.** | **Progression Review Arrangements** | **28** |
| 5.1 | General | 28 |
| 5.2 | Six month progress review | 28 |
| 5.3 | Annual progress review | 28 |
|  | * *Annual progress review outcomes* | *29* |
|  | * *Appealing a decision of the Progress Board* | *29* |
| **6.** | **Transfer from MPhil to PhD** | **30** |
| 6.1 | Application to transfer from MPhil to PhD | 30 |
| 6.2 | Assessment of transfer from MPhil to PhD | 30 |
|  | * *Assessment by independent subject specialist* | *30* |
|  | * *Appointment of independent subject specialist* | *30* |
|  | * *Possible outcomes of transfer assessment* | *31* |
|  | * *Appealing a decision of the FRDC on transfer* | *31* |
| **7.** | **The Thesis** | **32** |
| 7.1 | Requirements for submission of thesis for examination | 32 |
| 7.2 | Maximum word limits | 32 |
|  | * *For submissions by thesis route* | *32* |
|  | * *For submissions incorporating creative works* | *33* |
|  | * *For PhD by publication and PhD by portfolio* | *33* |
| 7.3 | Presentation and format of submission | 33 |
|  | * *Additional requirements for printed copies for examiners* | *35* |
| 7.4 | Final version of the thesis | 36 |
| 7.5 | Confidentiality requests and restricted access | 36 |
| **8.** | **Examinations** | **38** |
| 8.1 | Principles of assessment | 38 |
| 8.2 | Form of assessment | 38 |
| 8.3 | The Examining Panel | 38 |
|  | * *Appointment* | *38* |
|  | * *Composition* | *39* |
|  | * *Chair of Examining Panel* | *39* |
|  | * *External examiners* | *40* |
|  | * *Internal examiners* | *40* |
|  | * *Examiners for staff* | *41* |
|  | * *Other considerations* | *41* |
| 8.4 | The Examination | 41 |
|  | * *Examination of the thesis* | *41* |
|  | * *Viva voce examination* | *42* |
|  | * *Examination outcomes* | *43* |
|  | * *Where examiners cannot reach a consensus* | *45* |
|  | * *Resubmission and re-examination* | *45* |
|  | * *Suspected academic misconduct at examination stage* | *46* |
|  | * *Appealing a decision of the RDC on an examination outcome* | *46* |
| 8.5 | Posthumous awards | 46 |

|  |  |  |
| --- | --- | --- |
| **1.** | **Postgraduate Research Degree Awards** | |
| **1.1** | **General principles** | |
| 1.1.1 | University of South Wales’ Research Degree Regulations are the principal means through which the University ensures consistency in the academic standards of its postgraduate research degree awards. | |
| 1.1.2 | A candidate is a student enrolled on an approved postgraduate research degree programme. All candidates and relevant staff are expected to be familiar with and comply with these regulations. | |
| 1.1.3 | The regulations embody nationally recognised good practice in the delivery of postgraduate research degrees and are informed by the Quality Assurance Agency’s UK Quality Code, Advice and Guidance: Research Degrees (November 2018) and guidance from UK Research and Innovation. | |
| 1.1.4 | The regulations are reviewed periodically, as and when appropriate, to ensure they remain in line with Quality Assurance Agency expectations and are comparable in standard with the sector more broadly. | |
| 1.1.5 | Academic standards of postgraduate research degree awards are further ensured by the appointment of an independent external examiner with suitable subject expertise for each candidate. | |
| 1.1.6 | In the case of Professional Doctorate programmes, validation panels are provided with copies of the Quality Assurance Agency’s qualification descriptors for Doctoral degrees and their *Characteristics Statement: Doctoral Degree* (September 2015). The taught component of professional doctorate programmes is examined by independent external examiners with relevant subject expertise. | |
| 1.1.7 | Programmes of research may be proposed in any field of study where the University has supervision capacity and expertise. This is subject to the requirement that the proposed programme is capable of leading to scholarly research and to its presentation for assessment by appropriate examiners. | |
| 1.1.8 | The submission for examination will usually be in the form of a written thesis, except in the case of a PhD which may take alternative forms of submission. | |
| 1.1.9. | The University may discontinue a candidate for non-compliance with these regulations and / or failure to make satisfactory academic progress at progress review or transfer stage. | |
| *Research Degrees Committee (RDC)* | | |
| 1.1.10 | The Research Degrees Committee (RDC), on behalf of Research Committee and Quality Assurance Committee, is responsible for the quality and standards of postgraduate research degrees at the University. The RDC will ensure all decisions are made in accordance with the Research Degree Regulations and in line with the University’s published procedures. | |
| *Faculty Research Degrees Committee (FRDC)* | | |
| 1.1.11 | All faculties operate the same quality assurance framework for postgraduate research degrees. Faculty Research Degree Committees (FRDCs) operate at faculty level and consider the admission, registration and progression of postgraduate research candidates, in each faculty. FRDCs will ensure all decisions are made in accordance with the Research Degree Regulations and in line with the University’s published procedures. | |
| *Faculty Research Ethics Committee (FREC)* | | |
| 1.1.12 | All Faculties have a Faculty Research Ethics Committee (FREC). Part of its remit is to consider and approve ethics for postgraduate research projects which have been identified at application stage as being high risk, in line with the *University’s Ethics Framework*. | |
| *Faculty Progress Board* | | |
| 1.1.13 | All Faculties have a Progress Board for postgraduate research degrees which considers Annual Progress Reviews (refer to section 5). The Progress Board will make a decision regarding whether or not a candidate has made sufficient progress to continue on their postgraduate research degree. | |
| *Graduate School* | | |
| 1.1.14 | The Graduate School supports the aforementioned committees and boards of the University and co-ordinates a calendar of skills training events for candidates and associated staff. | |
| **1.2** | **Postgraduate research degree awards granted by the University** | |
| 1.2.1 | The University may award the following postgraduate research degrees:   * Doctor of Philosophy (PhD) * Doctor of Business Administration (DBA) * Doctor of Counselling Psychology (DPsych) * Master of Philosophy * Master’s degree by Research (MA or MSc by Research) * Research Diploma (RDip) (exit award only) | |
| 1.2.2 | A Research Diploma may only be awarded, at the discretion of the Research Degrees Committee, to a candidate examined for a research degree at Master’s or Doctoral level, who has not demonstrated the criteria required for the award to be conferred. | |
| **1.3** | **Qualification descriptors** | |
| *Doctorate* | | |
| 1.3.1 | A degree at Doctoral level (PhD or Professional Doctorate) shall be awarded to a candidate who has demonstrated creation and interpretation of new knowledge, through original research or other advanced scholarship, of a quality to satisfy peer review, extend the forefront of the discipline, and merit publication. The candidate shall demonstrate a detailed understanding of appropriate research methods and their application to the chosen field, and present and defend a thesis of an appropriate literary standard (or alternative form of submission where appropriate), by viva voce examination to the satisfaction of examiners. | |
| *Master’s* | | |
| 1.3.2 | A research degree at Master’s level (MPhil or MA / MSc by Research) shall be awarded to a candidate who has critically investigated and evaluated an approved topic and demonstrated originality in the application of knowledge. The candidate shall demonstrate a detailed understanding of appropriate research methods and their application to the chosen field, and present and defend a thesis of an appropriate literary standard (or alternative form of submission where appropriate), by viva voce examination to the satisfaction of examiners. | |
|  |  | |
| *Diploma* | | |
| 1.3.3 | A research diploma may be awarded to a candidate who has critically investigated and evaluated an approved topic. The candidate shall demonstrate an understanding of appropriate research methods, and their application to the chosen field, and present and defend a thesis of an appropriate literary standard (or alternative from of submission as appropriate), by viva voce examination to the satisfaction of examiners.  A research diploma may only be awarded at the discretion of the Research Degrees Committee to those candidates examined for a research degree at Master’s or Doctoral level who have not demonstrated the criteria for the award to be conferred. | |
| **1.4** | **Research degrees by thesis** | |
| 1.4.1 | A research degree may be awarded to a candidate who successfully submits a thesis in an approved programme of study which meets the criteria for a research degree award (refer to section 1.3). | |
| **1.5** | **Research degrees involving creative works** | |
| 1.5.1 | A candidate may undertake research in which their own creative work, or the preparation of a scholarly edition of the creative works of others, forms part of their registered research project. This must be clearly stated in the project proposal and approved by the FRDC. | |
| 1.5.2 | The final submission may include original works in addition to the thesis, or as part of the portfolio (in the case of PhD by portfolio route) (refer to section 1.7). The creative works may include, for example: works of fiction, musical or choreographic works, designs, devices and products, short film, exhibition of works, installation or other original artefacts, or examples of creative work. | |
| 1.5.3 | Any creative work included must be clearly presented in relation to the submission as a whole and set in its relevant theoretical, historical, critical or design context. | |
| **1.6** | **PhD by publication** | |
| 1.6.1 | The award of PhD may be granted to a candidate who successfully submits an approved body of peer-reviewed published work (demonstrating significant authorship by the candidate) and a critical overview, which taken together, meet the criteria for a doctorate (refer to regulation 1.3.1). | |
| 1.6.2 | The approved body of published work (refer to regulation 2.2.5) will normally be equivalent to six peer reviewed journal articles, and may include book chapters and monographs. The number of book chapters or monographs deemed equivalent to six journal articles will be formed on a subject basis. | |
| ***Examples of materials acceptable for Publication submission*** | |
| Peer reviewed journal papers  Monographs  Book chapters | Books  Conference proceedings |
| 1.6.3 | The published body of work will be complete at the time of registration. | |
| **1.7** | **PhD by portfolio** | |
| 1.7.1 | The award of PhD may be granted to a candidate who successfully submits a maximum of three projects and their associated outputs, related to professional practice, and / or derived from empirical or conceptual investigation and a critical overview, which taken together, meet the criteria for a doctorate (refer to regulation 1.3.1). | |
| 1.7.2 | The project outputs may take various forms. Publications may be included but where they are unattributed e.g. official reports, company publications, they must be accompanied by a statement at a senior management level that confirms the nature and significance of the candidate’s contribution to the work. | |
|  | ***Examples of materials acceptable for Portfolio submission*** | |
|  | Project / programme reports  Project / programme materials  Feedback from project sponsors  Published books / chapters / journal papers  Conference proceedings  Patents  Surveys | Exhibitions / productions / artefacts  CD / DVD / video / film presentations  Software programs  Multimedia packages  Design materials  Maps |
| 1.7.3 | The majority of projects and associated outputs will be complete at the time of registration. | |
|  |  | |
| **1.8** | **Professional doctorates (DBA and DPsych)** | |
| 1.8.1 | A Professional Doctorate may be awarded to a candidate whose approved research programme has relevance and application to a defined area of professional practice, involves successful completion of taught elements at advanced level, and successful submission of a thesis which meets the criteria for an award at doctoral level (refer to regulation 1.3.1). | |
| 1.8.2 | The taught element of a Professional Doctorate programme will be equivalent to 240 credits and falls under the *Regulations for Taught Courses.* | |
| **1.9** | **Collaboration with other bodies** | |
| 1.9.1 | The University encourages co-operation with external bodies e.g. industrial, governmental, commercial, professional, or research organisations, for the purposes of research leading to postgraduate research degree awards. Formal collaborative partnership will involve specialist input to the project and will be governed by contractual arrangements between the University and the external partner. The latter may also contribute financially and provide access to facilities, data or materials through a financial or in-kind arrangement. The name of the external partner shall appear on the candidate’s thesis and degree certificate. | |
| 1.9.2 | A representative of the external partner may be appointed as an external advisor by the FRDC. | |

|  |  |
| --- | --- |
| **2.** | **Selection and Admission** |
| **2.1** | **Selection principles** |
| 2.1.1 | The University will admit postgraduate research candidates based on the following broad principles:   * The candidate meets the University’s entry requirements; * The validity of the research proposal; * The proposed research fits within the research interests of the Faculty and / or University and appropriate supervision can be provided; * Reasonable expectation that the candidate will successfully complete the project within the required time frame; * The necessary resources for a timely and successful completion exist and are expected to continue to exist for the duration of the project; * There is a potential for contribution to knowledge where appropriate. * Equal opportunities for all applicants. |
| 2.1.2 | All postgraduate research degree admissions will be approved by the relevant Faculty Research Degrees Committee (FRDC). |
| 2.1.3 | FRDC approval will be informed by objective indicators including the ability and track record of proposed supervisors e.g. numbers of successful completions; completion times; current supervisory, teaching and administrative workload; attendance at supervisory training. This is an indicative but not exhaustive list. |
| 2.1.4 | Where a candidate proposes to study by distance, either within or outside the UK, the FRDC must be assured that:   * The candidate will have access to the necessary facilities at their location to allow them to complete successfully and on time. * The candidate will receive regular and frequent access to their supervisory team which may include face to face, email and telephone contact. |
| 2.1.5 | Where a candidate’s proposed project forms part of a collaborative group project, the FRDC must be assured that the candidate’s individual contribution is (1) distinguishable for the purposes of assessment and (2) appropriate for the postgraduate research award being sought. The application must clearly state each individual contribution and its relationship to the group project. |
| 2.1.6 | Where a candidate’s proposed project is part of a funded piece of research, the FRDC must be assured that the terms and conditions of funding do not preclude the candidate from fulfilling the objectives and requirements of the postgraduate research award. |
| **2.2** | **General entry requirements** |
| 2.2.1 | Applicants for the Masters by Research (MA or MSc by Res) will normally be expected to have a UK 2:1 honours degree (or a qualification of comparable standard, if outside the UK) in a relevant subject. |
| 2.2.2 | Applicants for the MPhil including MPhil with possibility of transfer or upgrade to PhD (refer to regulation 3.1.4), PhD or Professional Doctorate programmes will normally be expected to have a UK 2:1 honours degree or above, or a UK Masters qualification (or a qualification of comparable standard, if outside the UK) in a relevant subject. |
| 2.2.3 | Where an applicant holds qualifications other than those outlined in regulations 2.2.1 and 2.2.2, the FRDC must be assured that the applicant’s previous knowledge and experience gives them a reasonable expectation of timely and successful completion. |
| *Additional requirements for Professional Doctorates (DBA and DPsych)* | |
| 2.2.4 | Applicants for a Professional Doctorate programme will also be expected to have experience of relevant professional practice, access to a suitable professional context in which to conduct their research, and any qualifications as required by a specific programme. |
| *Additional requirements for PhD by publication* | |
| 2.2.5 | Applicants for PhD by publication normally require six peer reviewed journal articles, or equivalent book chapters or monographs, as sole or first author (refer to section 1.6). In approving this route of study, the FRDC must be satisfied that the proposed body of work will allow for a suitable narrative to be written demonstrating originality in the field. |
| 2.2.6 | Applications for PhD by Publication route are restricted to past and present members of staff, alumni and applicants with a strong affiliation to the University. |
|  |  |
| *Additional requirements for PhD by portfolio* | |
| 2.2.7 | Applicants for PhD by portfolio require a portfolio of work, normally three projects and their associated outputs, related to professional practice, and / or derived from empirical or conceptual investigation (refer to section 1.7). In approving this route of study, the FRDC must be satisfied that the proposed body of work will allow for a suitable narrative to be written demonstrating originality in the field. |
| *Additional requirements for direct entry to PhD (by thesis route)* | |
| 2.2.8 | Applications to study for PhD by direct entry (without the need to register for an MPhil / PhD programme as per regulation 3.1.4) may be considered where an applicant has either:   1. A UK Masters qualification (or a qualification of comparable standard, if outside the UK) with a significant research component, in the same discipline area as the proposed research. The Master’s degree will have included training in research and the execution of a research project; *or* 2. Significant research and / or professional experience in the same discipline area as the proposed research, which has resulted in published work, written reports or other appropriate evidence of accomplishment. |
| *Requirements for transfer from another University* | |
| 2.2.9 | Where an applicant is enrolled for a research degree elsewhere and applies to transfer their enrolment and project registration to the University, their application must demonstrate how they will ensure the majority of work submitted in the thesis is research supervised by a member of staff at the University |
| 2.2.10 | Where an applicant enrolled for a research degree elsewhere applies to transfer their enrolment and project registration to the University, the FRDC must be assured that the applicant’s current institution (1) approves the transfer, (2) confirms the applicant’s enrolment dates, and (3) confirm that the applicant’s progress during their studies has been satisfactory. |
|  |  |
|  |  |
| **2.3** | **English Language requirements** |
| 2.3.1 | Where Welsh or English is not an applicant’s first language, they must demonstrate minimum English Language proficiency requirements, as published by the University. |
| **2.4** | **Consideration of applications** |
| 2.4.1 | All applicants must submit a complete application and the necessary supporting documents, in line with the University’s published procedures. |
| 2.4.2 | All applications and research proposals will be reviewed and ethics considered, in line with the University’s published procedures. |
| 2.4.3 | Applications will be considered in line with the University’s entry requirements and the broad principles outlined in section 2.1.1. |
| 2.4.4 | The research proposal must be capable of leading to scholarly work which is deemed to be appropriate to the programme of study. |
| 2.4.5 | Where the proposed research involves either conduct of research or data collection overseas, *or* potential risk to the reputation of the University, it requires preliminary approval at University level in line with the University’s published research governance procedures. |
| 2.4.6 | Applicants will be interviewed and applications approved by the FRDC prior to admission. |
| 2.4.7 | Successful applicants will receive a formal offer, with terms and conditions of study, and a named Director of Studies. |
| 2.4.8 | Successful applicants for PhD (by thesis route) will normally be offered a place on an MPhil/PhD programme (MPhil with possibility of transfer to PhD) as per regulation 3.1.4 unless they meet the additional requirements for direct entry to PhD specified in 2.2.8. |

|  |  |
| --- | --- |
| **3.** | **Postgraduate Research Candidate Enrolment and Project Registration** |
| **3.1** | **Initial enrolment and project registration** |
| 3.1.1 | A postgraduate research candidate is required to enrol as a student of the University and pay appropriate fees, as determined by the University. |
| 3.1.2 | A postgraduate research candidate will enrol at one of three fixed entry points during the academic year; either October, January or April. |
| 3.1.3 | A candidate may enrol to study through the medium of Welsh or English. Where a candidate wishes to study through the medium of Welsh, the FRDC must be satisfied that suitable supervision can be arranged. |
| 3.1.4 | A candidate for the award of PhD will normally enrol on an MPhil / PhD programme initially i.e. MPhil with the possibility of transfer or upgrade to doctoral level study (refer to section 6). Some candidates may be exempt from this requirement as per regulation 2.2.8. |
| 3.1.5 | The FRDC may permit the enrolment of a candidate who is studying another course providing that (1) the existing course and / *or* the research degree is part-time *and* (2) in the opinion of the FRDC, the dual enrolment will not impact successful, timely completion of the research degree. |
| 3.1.6 | In addition to enrolment, the postgraduate research project must be registered. All new project registrations, and any subsequent changes, must be approved by the Faculty Research Degrees Committee (FRDC). |
| 3.1.7 | The application to register the project will state the intended form of submission i.e. thesis, portfolio or publication, which must be approved by the FRDC. |
| 3.1.8 | A candidate’s project registration commences on the date of their first enrolment and normally ends upon submission of the thesis. A candidate’s enrolment, however, is expected to continue until the examination process is complete. |
| 3.1.9 | Where a candidate, the University or the collaborating establishment wishes the submission, or some part of it, to remain confidential for a period of time after completion, a request should be submitted to the Research Degrees Committee (RDC) at the time of project registration. The period approved shall not normally exceed five years from the date of completion. |
| 3.1.10 | Candidates must demonstrate satisfactory progress during their studies in order for their enrolment and project registration to continue (refer to section 5). |
| **3.2** | **Induction and orientation** |
| 3.2.1 | Following enrolment onto a postgraduate research degree programme, candidates are expected to attend an induction programme organised by the Graduate School. As part of this, relevant regulations, policies, procedures and expectations will be introduced. Candidates will also be introduced to the Graduate School’s *Calendar of Skills Training Events for Postgraduate Researchers*. |
| 3.2.2 | A candidate’s Director of Studies shall ensure that they receive an induction at Faculty level. |
| 3.2.3 | The Director of Studies and candidate together shall undertake a skills needs assessment to determine whether there is any relevant training the candidate requires to support their studies. This may include subject specific training, research methods or generic skills training. |
| **3.3** | **Project registration period** |
| 3.3.1 | The minimum and maximum periods of project registration for degrees by thesis route (along with *expected* periods) are as set out below: |
|  |  |
|  | |  |  |  |  | | --- | --- | --- | --- | | **FULL-TIME STUDY** | | | | | **Degree by thesis route** | **Minimum** | **Maximum** | ***Expected*** | | M by Res | 12 months | 18 months | *12 months* | | MPhil | 18 months | 36 months | *24 months* | | MPhil / PhD | 33 months | 60 months | *36-48 months* | | PhD Direct | 24 months | 60 months | *36-48 months* | | Professional Doctorate | 33 months | 60 months | *36-48 months* | |
|  |  |
|  | |  |  |  |  | | --- | --- | --- | --- | | **PART-TIME STUDY** | | | | | **Degree by thesis route** | **Minimum** | **Maximum** | ***Expected*** | | M by Res | 24 months | 36 months | *24 months* | | MPhil | 30 months | 48 months | *36 months* | | MPhil / PhD | 45 months | 72 months | *60 months* | | PhD Direct | 36 months | 72 months | *60 months* | | Professional Doctorate | 45 months | 72 months | *60 months* | |
| 3.3.2 | The project registration period for PhD by portfolio route is 1-5 years. |
| 3.3.3 | The project registration period for PhD by publication route is 1-2 years. |
| 3.3.4 | Where a candidate transfers their enrolment and project registration from another university, the project registration period will be adjusted to take account of their previous candidature. |
| 3.3.5 | Submission for examination must be within the approved project registration period. |
| *‘Writing-up’ status* | |
| 3.3.6 | A postgraduate research candidate who has completed their research and their normal *expected* project registration period, and is writing up their thesis for submission may, apply to enter ‘Writing-up’ status. |
| 3.3.7 | Both full-time and part-time candidates may remain as ‘Writing-up’ for a period of one year. During this time, they will pay a reduced tuition fee as determined by the University. Should a candidate reach the end of their ‘Writing-up’ period without having submitted their thesis for examination, full fees may resume. |
| 3.3.8 | A candidate will apply to the Graduate School to enter their ‘Writing-up’ period and the application will include written confirmation that: |
|  | 1. They have completed all their data collection and analysis; |
|  | 1. They expect to submit their thesis for examination within the next 12 months; |
|  | 1. They no longer require access to research laboratories and / or allocated desk space; |
|  | 1. A supporting statement from the candidate’s Director of Studies confirming the above. |
| 3.3.9 | A candidate who wishes to apply to enter ‘Writing-up’ status should discuss with their supervisors the feasibility of submitting their thesis for examination within 12 months prior to making their application. |
| **3.4** | **Changes to enrolment and project registration** |
| 3.4.1 | The Faculty Research Degree Committee (FRDC) is responsible for approving changes to a candidate’s enrolment and / or project registration, including changes to:   * Research project and / or title * Supervisory team * Mode of attendance * Enrolment and / or project registration status (e.g. interruption to studies, , extension to project registration) * Degree programme e.g. PhD to MPhil |
| 3.4.2 | A change to the form of submission for a registered project (e.g. PhD by thesis to PhD by publication) is not permitted at any stage. |
| 3.4.3 | Where a change to a candidate’s mode of study, e.g. from full-time to part-time or vice versa, is approved by the FRDC, the candidate’s registration period will be adjusted accordingly. |
| *Interruption to studies* | |
| 3.4.4 | Where a candidate is unable to work on their postgraduate research degree, due to health or other acceptable reasons, they may apply to the FRDC for an *interruption to studies*. If approved, the candidate’s enrolment and project registration will be suspended for the period of the approved interruption. The FRDC will not normally approve an *interruption to studies* of more than one year. |
| 3.4.5 | Where the candidate is an International student studying on a Tier 4 visa, their *interruption to studies* will be reported to UKVI and the candidate will be required to leave the UK as their visa will be curtailed, in line with the University’s published *International PGR Student Absence Procedures* and UKVI requirements. |
| *Extension to project registration* | |
| 3.4.6 | Where there are exceptional circumstances, the FRDC may approve an extension to a candidate’s project registration period, normally for not more than one year and not normally incurring any further tuition fee. |
| *Request to withdraw from studies* | |
| 3.4.7 | Where a candidate chooses to withdraw from their studies they must inform the Graduate School so this can be noted by the FRDC. Failure to do so may result in discontinuation of studies by the University, as per section 3.6. |
| 3.4.8 | Where the candidate is an International student studying on a Tier 4 visa, their *withdrawal* will be reported to UKVI and the candidate will be required to leave the UK as their visa will be curtailed, in line UKVI requirements. |
| 3.4.9 | Where a candidate who has withdrawn from their postgraduate research degree wishes to return to their programme of study at a later date, they must submit a new research degree application to the University. |
| **3.5** | **Student engagement** |
| *Time spent doing research* | |
| 3.5.1 | A candidate who is registered on a full-time basis is expected to spend at least 35 hours per week on their research project; a candidate who is registered part-time is expected to spend on average 12 hours per week on their research project. |
| *Expected attendance* | |
| 3.5.2 | A candidate is normally expected to attend the University campus as appropriate for their studies or to have agreed in advance arrangements with the University where this is not possible or would impede progress with their studies. International students studying on a Tier 4 visa are required to adhere to the University’s *Attendance Monitoring Policy for International Students*. |
| *Data collection away from the University* | |
| 3.5.3 | For some projects it will be necessary for candidates to conduct research and / or collect data away from the University for a short period of time. Where this is required this should be explicit in the research proposal, particularly where the research will be conducted overseas, as risk will need to be assessed prior to the candidate being permitted to enrol. Where data collection away from the University is necessary, the candidate must obtain authorisation from their Director of Studies prior to commencement of their ‘study away’. When applying for, and during any approved, ‘study away’ period, International students must ensure compliance with the University’s published *International PGR Student ‘Study Away’ Procedures*. |
| *Authorised absence* | |
| 3.5.4 | In exceptional circumstances, a candidate may apply to the University for a temporary leave of absence of up to 20 working days, in line with published University procedures. An absence of between 3-20 working days requires University-level approval; a shorter period may be authorised by the candidate’s Director of Studies. |
| *Annual leave* | |
| 3.5.5 | A full-time candidate is entitled to 35 days annual leave per academic year (excluding bank holidays and closure days). The academic year commences in October. Where a candidate commences their studies in January or April, their first year’s annual leave allowance will be calculated pro-rata. |
| 3.5.6 | Where a candidate does not use all of their annual leave allowance in any given annual leave period, they may carry over *up to five days* to the following year. |
| 3.5.7 | Any annual leave requires authorisation by the Director of Studies in advance of the candidate taking leave. In the case of International students studying on a Tier 4 visa, the Graduate School will be notified and a central record of annual leave will be kept in line with published University procedures. |
|  |  |
| *Research students who teach* | |
| 3.5.8 | A candidate may apply to undertake hourly paid lecturing at the University whilst enrolled on their postgraduate research degree. Any teaching hours should be agreed in advance with the candidate’s Director of Studies and Head of School, and teaching should not be authorised where it is likely to impact timely completion of their PhD. |
| 3.5.9 | Where a candidate is enrolled full-time, they must undertake no more than six hours of teaching per week which includes marking and preparation time. |
| **3.6** | **Discontinuation of studies** |
| 3.6.1 | The discontinuation of a candidate’s studies refers to the termination of their enrolment by the University. |
| *Grounds for discontinuation of studies* | |
| 3.6.2 | There are several grounds for the discontinuation of a candidate’s studies: |
|  | 1. One of the candidate’s formal assessments is deemed unsatisfactory:  * Annual progress review * Completion of action plan to address *less than satisfactory* progress review * Transfer from MPhil to PhD; |
|  | 1. A candidate is deemed to have become inactive without obtaining an approved *interruption to studies* (refer to regulation 3.4.4); |
|  | 1. A candidate’s project registration period has expired prior to submission for examination *or* their approved period to complete thesis amendments or resubmission has expired prior to revised submission and they have not formally requested an extension to their project registration; |
|  | 1. A candidate is found guilty of a serious breach of University regulations, for example in relation to academic or research conduct (refer to Student Code of Conduct, Academic Misconduct Regulations and Research Good Practice Code of Conduct). |
|  |  |
| *Where a candidate has become inactive* | |
| 3.6.3 | A candidate is deemed to have become inactive where: |
|  | 1. They have failed to re-enrol within the expected enrolment period. This will invoke a written warning from the Graduate School and if the candidate does not respond by the set deadline, they will be formally excluded from the University; |
|  | 1. They have failed to engage with their programme of study *or* the University for a *period of three months*. In this case, the Graduate School will write to the candidate requesting that they make contact by a set deadline. If the candidate does not respond, the FRDC will consider formal exclusion of the candidate from the University; |
|  | 1. They have failed to submit their annual progress review *and* have failed to respond to a reminder from the Graduate School to complete their progress review by a set deadline. Should this happen, and no evidence can be provided within the specified timeframe to justify the delay, the candidate will be formally excluded from the University. |
| 3.6.4 | Where an International student studying on a Tier 4 visa is excluded or discontinued, they will be reported to UKVI and will be required to leave the UK as their visa will be curtailed, in line with UKVI requirements. |
| **3.7** | **Other requirements and conditions of enrolment and project registration** |
| 3.7.1 | All postgraduate research degree candidates are expected to be familiar with and comply with the following: |
|  | 1. The University’s Postgraduate Research Degree Regulations and Code of Practice for Postgraduate Research Students; |
|  | 1. The University’s *Framework for Research Governance*, which includes the University’s published policies and procedures for ensuring research integrity; securing ethical approval; and good practice in research data management; |
|  | 1. Any other regulations, policies and procedures which affect them, such as health and safety, academic misconduct and intellectual property. |
|  |  |
| 3.7.2 | Candidates are responsible for: |
|  | 1. Maintaining regular and frequent contact with their supervisory team and preparing appropriately for meetings with supervisors; |
|  | 1. Initiating meetings with supervisors and retaining appropriate meeting records; |
|  | 1. Planning and submitting work as and when required and maintaining satisfactory academic progress; |
|  | 1. Complying with requirements of annual progression monitoring at all stages of enrolment; |
|  | 1. Engaging with any relevant training that has been identified and agreed with supervisors as a result of skills needs analysis and / or supervisory team meetings; |
|  | 1. Raising awareness of any specific needs or circumstances likely to affect either their studies or their timely completion. |
| 3.7.3 | Where a candidate does not meet their responsibilities, as outlined in regulation 3.7.1 and / or regulation 3.7.2, they may be subject to University procedures for managing unsatisfactory performance which may result in discontinuation of the candidate’s studies as per section 3.6. |

|  |  |
| --- | --- |
| **4.** | **Supervision** |
| **4.1** | **Supervisory teams** |
| *Composition* | |
| 4.1.1 | A postgraduate research candidate will be supervised by a supervisory team consisting of at least two and, not more than, three, supervisors. |
| 4.1.2 | In exceptional circumstances, the supervisory team may include a supervisor employed at another institution. |
| 4.1.3 | In addition to the supervisors, an advisor may contribute specialist knowledge, or a link with an external organisation. |
| 4.1.4 | There may be a requirement to change the composition of the supervisory team; in such circumstances, there must be formal approval by the Faculty Research Degrees Committee (FRDC). |
| *Eligibility to supervise* | |
| 4.1.5 | All members of the supervisory team will be research active with relevant expertise and between them, they will have a significant research and publications record in the field. |
| 4.1.6 | The supervisory team will have a combined experience of supervising at least two candidates to successful completion at or above the level of the proposed programme. |
| 4.1.7 | All new supervisors must undertake appropriate supervisor training. Supervisors must keep up to date with relevant training and / or development at least every three years. |
| 4.1.8 | A postgraduate research student enrolled at the University, or elsewhere, is ineligible to be a supervisor, or advisor, to another postgraduate research student enrolled at the University. |
| 4.1.9 | The FRDC will monitor ongoing eligibility to supervise through data about student progress and completion, progress and review reports, supervision training attendance, feedback from students and compliance with University’s Research Degree Regulations. |
| *Director of Studies* | |
| 4.1.10 | One member of the supervisory team will be the Director of Studies (first supervisor) who will be responsible for supervising the candidate on a regular and frequent basis. Other responsibilities of the Director of Studies will be to ensure that: |
|  | 1. The candidate is aware of and complies with the University’s Framework for Research Governance, which includes the University’s published policies and procedures for ensuring research integrity; securing ethical approval; and good practice in research data management; |
|  | 1. The candidate is aware of and complies with any other policies and procedures which affect their studies including health and safety, academic conduct and intellectual property; |
|  | 1. The candidate undertakes a skills needs analysis at the start of their studies, in which any relevant training and development needs are identified; |
|  | 1. The Dean of Faculty or Head of School is notified of any specific facilities / resources required, and that on agreement of these resources, they are provided by the appropriate department; |
|  | 1. The candidate receives any necessary training and guidance in following their research programme; |
|  | 1. All duties associated with registration, progression monitoring and examination are completed in a timely manner. |
| 4.1.11 | The Director of Studies will be a member of staff of the University and the candidate will register in the faculty where the Director of Studies is based. |
| **4.2** | **Supervisory capacity** |
| 4.2.1 | A supervisor may supervise a maximum headcount of 10 research students, including no more than six as Director of Studies. The maximum permitted may be increased in exceptional circumstances where FRDC is satisfied that the proposed supervisor’s other academic duties have been adjusted to allow for this. |
| 4.2.2 | In the event of a supervisor leaving the University, the FRDC will make every effort to establish alternative arrangements for supervision of the candidate. Where this proves impossible, the University: (1) reserves the right to withdraw an offer where this occurs before enrolment; or (2) will endeavour to facilitate the transfer of the candidate elsewhere. |
| **4.3** | **Supervision process** |
| 4.3.1 | The candidate and their supervisory team share responsibility for maintaining regular contact, as appropriate for the stage of study but at least once per month. |
| 4.3.2 | A formal record of each meeting will be retained by the candidate and their supervisory team, and will include targets and objectives for the next meeting. |
| 4.3.3 | The supervisory team may raise concerns about a candidate’s progress with the FRDC which may result in further action being taken. |

|  |  |  |
| --- | --- | --- |
| **5.** | **Progression Review Arrangements** | |
| **5.1** | **General** | |
| 5.1.1 | The progress of postgraduate research candidates towards successful completion within approved time periods will be monitored by the University. | |
| **5.2** | **Six month progress review** | |
| 5.2.1 | A statement of progress will be completed by Directors of Study six months after a candidate’s initial registration. This will be reviewed by the Faculty Research Degrees Committee (FRDC) which will follow up on any identified concerns during the remainder of the first year of study. | |
| 5.2.2 | Where concerns about progress during the first six months are identified, an appropriate action plan will be put in place by the FRDC. The Director of Studies will report back to FRDC within a given timeframe to update on progress against the action plan. | |
| **5.3** | **Annual progress review** | |
| 5.3.1 | A more in depth annual progress review will be completed by the candidate and their Director of Studies. Other members of the supervisory team will have the opportunity to review and comment on the progress review. | |
| 5.3.2 | As part of the annual progress review, the Director of Studies or nominated supervisor will grade a candidate’s progress as follows: | |
|  | 1. Excellent | |
|  | 1. Very Good | |
|  | 1. Good / satisfactory | |
|  | 1. Limited progress made | |
|  | 1. Unsatisfactory | |
| 5.3.3 | Where a candidate’s progress is graded as below satisfactory, the Director of Studies or nominated supervisor will include details of any factors that may have impeded progress during the review period. | |
| 5.3.4 | Annual progress reviews, and any other relevant information and / or documentation, are considered by a Progress Board (refer to regulation 1.1.13). Examples of other relevant information and / or documentation include the candidate’s registration dates, supervision reports and other relevant expected progression milestones such as transfer from MPhil to PhD. | |
| *Annual progress review outcomes* | | |
| 5.3.5 | The Progress Board will make one of the following decisions: | |
| 1. | The candidate is permitted to continue; |
| 2. | The candidate’s progress is monitored against an agreed action plan within a specified timeframe; |
| 3. | The candidate’s study is discontinued. |
| 5.3.6 | Where a candidate’s progress is monitored against an agreed action plan following Progress Board, their progression will be assessed again at the end of the monitoring period. If satisfactory, the candidate will be permitted to continue their studies. If unsatisfactory, the candidate’s study may be discontinued as per regulation 3.6.2 (a). | |
| 5.3.7 | The Progress Board will receive confirmation from the Award and Progression Board when a Professional Doctorate candidate has successfully completed the taught element of their programme. This will inform progression to the research element and determine the candidate’s eligibility to continue. | |
| *Appealing a decision of Progress Board* | | |
| 5.3.8 | A candidate may appeal against a decision of Progress Board but only under specific criteria, in line with the University’s *Academic Appeals Regulations and Procedures for Research Degrees*. | |

|  |  |
| --- | --- |
| **6.** | **Transfer from MPhil to PhD** |
| **6.1** | **Application to transfer from MPhil to PhD** |
| 6.1.1 | A candidate who initially enrols on an MPhil / PhD programme (refer to regulation 3.1.4) will apply to the Faculty Research Degrees Committee (FRDC) to transfer from MPhil to PhD level study within 12 months of project registration for full-time study, and within 24 months of project registration for part-time study. |
| 6.1.2 | In support of the application to transfer, the candidate will submit a transfer report of up to 6000 words. This will include:   1. A review and discussion of the work already undertaken; 2. A statement of the intended further work (including details of the original contribution to knowledge likely to emerge); 3. A research plan or schedule |
| **6.2** | **Assessment of transfer from MPhil to PhD** |
| *Assessment by independent subject specialist* | |
| 6.2.1 | The FRDC will appoint an *independent subject specialist* to review the submitted transfer report and conduct a short viva voce assessment. This will be observed by Director of Studies or another member of the candidate’s supervisory team. |
| 6.2.2 | Following the transfer assessment, the independent subject specialist will make a recommendation to FRDC (refer to regulation 6.2.6). The decision on transfer resides with the FRDC. |
| 6.2.3 | In approving a candidate’s transfer from MPhil to PhD, the FRDC must be satisfied that the candidate has made sufficient progress and that the proposed project provides a suitable basis for work at doctoral standard which the candidate is capable of pursuing to completion. |
| *Appointment of independent subject specialist* | |
| 6.2.4 | The Director of Studies will provide the FRDC with the details of three independent specialists one of whom will be selected to conduct the candidate’s transfer assessment. |
| 6.2.5 | The independent subject specialist must have experience of supervising to successful completion at doctoral level. |
|  |  |
| *Possible outcomes of transfer assessment* | |
| 6.2.6 | The transfer process will have one of the following outcomes: |
|  | 1. The candidate is permitted to proceed to PhD; |
|  | 1. The candidate is permitted to proceed to PhD with certain conditions (to be addressed within an agreed timeframe); |
|  | 1. The candidate is not permitted to proceed to PhD and is required to resubmit their transfer report for further assessment within an agreed timeframe; |
|  | 1. The candidate is required to submit for MPhil; |
|  | 1. The candidate’s study is discontinued. |
| 6.2.7 | Where a candidate is not permitted to proceed to PhD *or* required to resubmit their transfer report, they will receive written feedback on their application. |
| 6.2.8 | Where a candidate is required to resubmit their transfer report for further assessment within an agreed timeframe, only one resubmission will be permitted. |
| *Appealing a decision of FRDC on transfer* | |
| 6.2.9 | A candidate may appeal a decision of the FRDC but only under specific criteria, in line with the University’s *Academic Appeals Regulations and Procedures for Research Degrees*. |

|  |  |
| --- | --- |
| **7.** | **The Thesis** |
| **7.1** | **Requirements for submission of thesis for examination** |
| 7.1.1 | The candidate must submit their thesis before expiry of their maximum registration period. In exceptional circumstances, where there is evidence that a candidate’s research is proceeding exceptionally well, early submission, i.e. submission prior to the minimum registration date, may be approved by the Research Degrees Committee (RDC). Within these time frames, submission of the thesis is at the sole discretion of the candidate. |
| 7.1.2 | The candidate will submit an electronic copy of their thesis to the Graduate School, which will be sent to examiners. Examiners may also require a printed copy of the submission. The preference of examiners will be determined by the Graduate School at the time of appointment and communicated to the candidate. The candidate will be required to provide sufficient printed copies for examiners. Any printed copies provided for examiners must be identical to the electronic copy submitted. |
| 7.1.3 | The copies of the submission presented for examination remain the property of the University but the copyright in the submission is normally vested in the candidate in line with the University’s *Student Intellectual Property Rights Policy*. |
| 7.1.4 | The candidate is free to publish material from the thesis in advance of the submission but reference to this should be made in the submission. |
| **7.2** | **Maximum word limits** |
| *For submissions by thesis route* | |
| 7.2.1 | The main body of the text (excluding bibliography and appendices) should not normally exceed the following: |
|  |  |
|  | |  |  | | --- | --- | | **Award** | **Maximum text length** | | Doctor of Philosophy / Doctor of Business Administration | 100,000 words | | Doctor of Counselling Psychology | 50,000 words | | Master of Philosophy | 60,000 words | | Masters by Research | 40,000 words | |
|  | Text length should be appropriate to the subject methodology and criteria of award. |
| *For submissions incorporating creative works* | |
| 7.2.2 | Where the submission includes either the candidate’s own creative works e.g. creative writing, or a scholarly edition of the creative works of others, the thesis text length will be adjusted accordingly and will normally be no more than: |
|  |  |
|  | |  |  | | --- | --- | | **Award** | **Maximum text length** | | Doctor of Philosophy | 40,000 words | | Master of Philosophy | 25,000 words | | Masters by Research | 15,000 words | |
|  | Text length should be appropriate to the subject methodology and criteria of award. |
| *For PhD by publication and PhD by portfolio* | |
| 7.2.3 | The text length of the submission for either PhD by portfolio or publication will normally be equivalent to that of a traditional PhD thesis, and should be appropriate to the subject methodology and criteria of award. The critical overview included as part of the submission will normally be no more than 15,000 words. |
| **7.3** | **Presentation and format of submission** |
| 7.3.1 | The submission will normally be presented in either Welsh or English except where the subject matter of the submission involves language and related studies. In such circumstances, the RDC may permit submission in a language other than Welsh or English. Where this is the case, the candidate must provide a separate summary of 1000 words in either Welsh or English. |
| 7.3.2 | The submission will include:   1. A declaration that the submission is the candidate’s own work; 2. An abstract of *no more than* 500 words (which will provide a synopsis of the submission including the nature and scope of the work undertaken and the contribution to knowledge made); |
|  | 1. A statement of the candidate’s research objectives; |
|  | 1. Acknowledgement of published or other sources of material consulted (including an appropriate bibliography) and any assistance received; |
|  | 1. A clear indication of the candidate’s individual contribution, where the research is part of a larger collaborative group project. |
| 7.3.3 | The following requirements shall be adhered to in the format of all submitted theses: |
|  | 1. The thesis shall normally be in A4 format; the RDC may give permission for a submission to be presented in another format where it is satisfied that the contents of the submission can be better expressed in that format; |
|  | 1. The size of character used in the main text shall be Arial 11 or Times New Roman 12 font, or equivalent; |
|  | 1. Double or one-and-a-half spacing shall be used in the typescript except for indented quotations and footnotes where single spacing may be used; |
|  | 1. Pages shall be numbered consecutively through the main text including photographs and / or diagrams included as whole pages; |
|  | 1. The title page shall give the following information and shall follow the layout specified in Annex 1: |
|  | * 1. The full title of the submission |
|  | * 1. The candidate’s full name |
|  | * 1. The name of the institution i.e. University of South Wales |
|  | * 1. The award for which the submission is presented in partial fulfilment of its requirements |
|  | * 1. The name of any Collaborating Establishment |
|  | * 1. The month and year of submission |
|  | 1. Between the title page and the first page of text the candidate must include: |
|  | * 1. an acknowledgements page, numbered with Roman numerals as (i); |
|  | * 1. an abstract, numbered as page (ii); |
|  | * 1. Table of Contents whose pages are numbered with Roman numerals sequentially from (iii). This will show the parts and / or chapters and sections into which the work is divided. This will usually be followed by lists, with their respective page numbers and other appropriate supporting details, which may include: * List of Diagrams * List of Figures * List of Tables * Supplementary materials * References * List of Appendices   All numbered sequentially in Roman numerals; |
|  | * 1. Copyright declaration. |
|  | 1. Start of main text; |
|  | 1. Following the main text – references and appendices. |
| *Additional requirements for printed copy for examiners* | |
| 7.3.4 | Where a printed copy of the submission is provided for examiners, the following additional requirements in format shall be adhered to: |
|  | 1. Copies of the thesis shall be printed in a permanent and legible form; |
|  | 1. The thesis may be printed on both sides of the page or recto side only; the paper shall be white and within the range 70 g/m2 to 100 g/m2; |
|  | 1. All chapters and appendices will start on a right hand page; |
|  | 1. The margin at the left hand edge of the page shall not be less than 40mm; other margins shall not be less than 15mm. |
| **7.4** | **Final version of the thesis** |
| 7.4.1 | Following examination and the incorporation of any amendments required by examiners, and prior to final award, the candidate will submit one printed copy, and one identical electronic copy, of the final approved thesis to the Graduate School, for archiving in the National Library of Wales and University repository, respectively. The candidate will be required to complete a thesis deposit agreement form for the thesis to be archived in the University repository as it will be made available online through open access. |
| 7.4.2 | The final thesis will be submitted to the University within one month of the candidate being notified that examiners have approved the thesis and any required amendments. |
| 7.4.3 | The final printed copy will be bound as follows:   1. Permanent binding of a fixed type so that pages cannot be removed or replaced, the front and rear covers will be sufficiently rigid (hardbound) so as to support the weight of the work when standing upright; 2. The front cover will include (in at least font size 24): the thesis title, the name of the candidate, the University of South Wales, the name of the award and the year of submission. The spine of the work will include the same information (excluding the title and University), reading downwards. |
| 7.4.4 | Where the submission includes creative works, the final deposition to the Graduate School for the National Library and University research repository must include a permanent record of the creative work, for example: electronic recording, photographic record, musical score, or diagrammatic representation. |
| **7.5** | **Confidentiality requests and restricted access** |
| 7.5.1 | In certain cases, where a candidate’s work is confirmed to be of a confidential nature, the RDC may approve that the thesis be withheld from the National Library of Wales, the University research repository and any Collaborating Establishment, and be retained by the University on restricted access. In such cases, the submission will only be available to those directly involved in the project. |
| 7.5.2 | The application for a thesis to remain confidential will normally be submitted at the same time as the application seeking approval of examiners. |
| 7.5.3 | The RDC will normally only approve an application for confidentiality where;   1. a patent application is pending; 2. the thesis contains commercially or politically sensitive material; 3. the requirements of a sponsor preclude the thesis from being made publicly available for a fixed period agreed by the University.   A thesis shall not be restricted in this way in order to protect research leads but other grounds *may* be considered by the RDC. |
| 7.5.4 | Prior to submitting a confidentiality request, the candidate should consider the following:   1. The starting assumption is always that research should be made publicly available; 2. Confidentiality should not be used as an alternative to legitimate ways of anonymising data to protect participants; 3. Sensitive material may be removed to an appendix and embargoed separately so that the main body of research is still publicly available; 4. Issues relating to potential harm to individuals or the author should be considered as part of the research design and the ethical approval process. |
| 7.5.5 | Where the RDC approves an application for confidentiality, access will be restricted for a period of up to five years. |
| 7.5.6 | A candidate may, where there are exceptional circumstances, apply to the RDC for an extension of the confidentiality period. |

|  |  |
| --- | --- |
| **8.** | **Examination** |
| **8.1** | **Principles of Assessment** |
| 8.1.1 | A candidate must demonstrate to the satisfaction of examiners that they meet the requirements of the University’s published qualification descriptor for the award for which they are registered. |
| 8.1.2 | A candidate registered for a Professional Doctorate must successfully complete all taught elements of their programme successfully prior to final thesis submission (refer to regulation 5.3.7). |
| **8.2** | **Form of Assessment** |
| 8.2.1 | All postgraduate research degree examinations consist of two parts: (1) examination of the thesis (or alternative form of submission) and (2) oral defence of the thesis (viva voce). |
| 8.2.2 | Where the Disability Service confirms there is evidence that, for reasons of illness or disability (or comparable valid cause), a candidate would be seriously disadvantaged by undertaking a viva voce examination, the Research Degrees Committee (RDC) will permit an alternative form of examination of equivalence to an oral defence. This could be, for example, a supported viva voce, or a combination of a written element (to address defined questions) with a shortened viva voce. |
| **8.3** | **The Examining Panel** |
| *Appointment* | |
| 8.3.1 | The RDC appoints the Examining Panel on behalf of the University’s Academic Board. |
| 8.3.2 | The Director of Studies is responsible for proposing the Examining Panel to the RDC in a timely manner, taking due care to avoid establishing reciprocal arrangements which could give rise to a lack of objectivity. |
| 8.3.3 | A candidate shall take no part in the appointment of examiners process. |

|  |  |
| --- | --- |
| *Composition* | |
| 8.3.4 | All Examining Panels for postgraduate research candidates are composed of the following:   * An independent chair * An external examiner * An internal examiner   It may be necessary to appoint a second external examiner instead of, or as well as, an internal examiner where:   * The candidate is a member of staff (as per Regulation 8.3.12) * It proves impossible to appoint a suitable internal examiner   In exceptional circumstances, it may be necessary for the RDC to appoint an additional external examiner for subject coverage.  The members of the panel between them will have substantial experience of examining postgraduate research degrees. They will have a combined previous experience of examining at least three postgraduate research degree candidates at, or above, the level of the award. |
| *Chair of Examining Panel* | |
| 8.3.5 | The RDC will appoint an independent person to chair the viva voce examination and any pre-meeting of the examiners. The Chair will ensure the conduct of the examination is fair and in line with the University’s regulations. |
| 8.3.6 | The Chair will:   * Be a member of staff of the University; * Be independent of the candidate’s programme of study; * Have a clear understanding of, and be fully compliant with, the University’s regulations and procedures; * Normally have experience of supervising and examining postgraduate research degrees; * Have undertaken appropriate training within the last five years. |
| 8.3.7 | The examiners are responsible for making any academic decisions about the candidate, although the Chair can advise in terms of the examination outcomes available to them within the University’s regulations. |
| *External Examiners* | |
| 8.3.8 | An External Examiner will:   * Be research active with specialist knowledge and expertise in the topic of the candidate’s research; * Be independent of the project, the University and any Collaborating Establishment linked to the project; * Not be either a supervisor of another candidate at the University, a close or recent collaborator of one of the supervisors, or an external examiner on a taught course at the University; * Be eligible to work in the UK and provide evidence of this in line with UK Visas and Immigration (UKVI) requirements; * Be able and be seen to be able to make an independent assessment of the candidate’s work. |
| 8.3.9 | Former members of staff, and former candidates, will not act as external examiners until five years after their employment has ended, or five years after they have completed. |
| 8.3.10 | The RDC will not normally appoint the same external examiner more than twice within five years. |
| *Internal Examiners* | |
| 8.3.11 | An Internal Examiner will:   * Be a member of staff of either the University or Collaborating Establishment, or * Be a member of the Emerati Professoriat of, or a Visiting Scholar to, the University; * Be research active with relevant subject knowledge; * Be independent of the candidate’s project. |
| *Examiners for staff* | |
| 8.3.12 | Where the candidate is: (1) a member of academic staff, or (2) a member of professional staff in the faculty where they are studying for their postgraduate research degree, two external examiners will be required.  The following exception applies:   * Candidates, including research assistants and research fellows, who have engaged in only hourly paid lecturing work alongside their postgraduate research degree.   It may become necessary to reconstitute an Examining Panel if a candidate’s employment status with the University changes between the time of appointment of examiners and the time of examination. |
| *Other considerations* | |
| 8.3.13 | There must be no personal link between an examiner and either a candidate or their supervision team, and any other relationship must be declared to the RDC prior to appointment. |
| 8.3.14 | Unless there are exceptional circumstances, the RDC will not normally appoint as an examiner a specialist who has previously assessed the candidate’s transfer from MPhil to PhD. |
| 8.3.15 | A postgraduate research degree candidate whether registered at the University or elsewhere cannot be an examiner. |
| **8.4** | **The Examination** |
| *Examination of the thesis* | |
| 8.4.1 | Each examiner will read and examine the thesis and complete an independent preliminary report. The report will: (1) confirm whether the thesis provisionally satisfies the requirements of the award and (2) where possible make an appropriate provisional recommendation subject to performance of the candidate in the viva voce examination. Independent preliminary reports must be submitted to the Secretary of the RDC before the viva and where possible, at least 10 days in advance. |
| 8.4.2 | Where the examiners agree that the thesis is so unsatisfactory that there would be no useful purpose in proceeding to viva voce examination, and where the candidate has sufficient time left within their registration period, the examiners may recommend that the RDC postpone the examination and return the thesis for further work. In such cases, the examiners will provide written guidance for the candidate concerning the deficiencies in the thesis. |
| 8.4.3 | A candidate will not fail outright without holding a viva voce examination. |
| *Viva voce examination* | |
| 8.4.4 | A candidate shall take no part in the arrangement of their viva voce examination, nor should they discuss their thesis with their appointed examiners prior to their viva examination. |
| 8.4.5 | All viva voce examinations will normally take place at the University and within six months of the date of submission of the thesis. Where there are exceptional circumstances, the RDC may approve that a viva voce examination is conducted off-campus, or by electronic means. The Director of Studies must seek approval for this at the time of appointment of examiners, or as soon as possible after the need becomes apparent.  Where the request involves a proposal for one or more participants to attend the viva by approved electronic means, the Director of Studies must include the following:   1. Written confirmation from all participants (including the candidate) that they have no objection to the viva voce being held, at an agreed time, by electronic means. 2. Written confirmation from the candidate that they waive any right to appeal against the examination outcome solely on the grounds of the use of the electronic medium or consequences arising from its use. 3. Assurance that an appropriate senior, independent professional, who is able to identify and support the candidate, is present at the same location as the candidate during the examination. 4. Assurance that all participants will attend the examination via an approved video-conferencing facility and that any necessary technical support identified in advance will be available. |
| 8.4.6 | A Director of Studies and / or Supervisor may be present at the viva voce examination, if the candidate wishes them to, but they must not participate in the discussion unless asked by examiners to provide clarification on a specific matter. |
| 8.4.7 | Examiners may inform the candidate of their recommendation to the RDC regarding the examination outcome. The RDC will make a decision on the reports and recommendation(s) of the Examiners in respect of the candidate. The power to confer the degree rests with the Academic Board of the University. |
| 8.4.8 | At the request of the examiners, the RDC may approve an additional examination as part of the overall assessment. Where possible, this will take place within eight weeks of the viva voce examination. |
| *Examination outcomes* | |
| 8.4.9 | Following the completion of the examination, the following recommendations are available to examiners:   1. The candidate fulfils the criteria of the award for which they are registered.   Examiners may recommend the candidate is awarded their degree:   1. With no corrections or amendments required 2. Subject to minor / major amendments as indicated by the examiners 3. The candidate does not currently fulfil the criteria for the award for which they are registered.   The submission displays significant deficiencies of content and / or presentation in areas specified by the examiners:   1. The candidate is permitted to revise and resubmit for the award and be re-examined 2. The candidate is offered a lower award / offered a lower award subject to minor / major amendments as indicated by the examiners 3. The candidate is permitted to revise and resubmit for a lower award and be re-examined 4. Degree not awarded.   The candidate is not awarded the degree and is not permitted to be re-examined. |
| 8.4.10 | Following the viva voce examination, Examiners will submit a joint report and recommendation to the Secretary of the RDC. The preliminary reports on the thesis and the joint recommendation of Examiners, taken together, should provide sufficiently detailed comments on the scope and quality of the work to enable the RDC to ensure that the outcome chosen is correct. |
| 8.4.11 | Where the examiners recommend an outcome of ‘award subject to minor amendments’ this will normally involve re-presenting or restructuring existing text only and will not normally involve new work. Minor amendments are expected to be completed within a maximum period of three months to the satisfaction of the internal and / or external examiner(s). |
| 8.4.12 | Where the examiners recommend an outcome of ‘award subject to major amendments’, whilst the candidate will have met the criteria for the award, some new work may be required in order for the thesis to reflect the quality of the research undertaken. This may include limited additional new research and analysis / re-writing of sections of text. Major amendments are expected to be completed within a maximum period of six months to the satisfaction of the internal and / or external examiner(s). |
| 8.4.13 | Where the candidate does not currently fulfil the criteria for the award but with substantial new work and re-writing of material the examiners agree that the candidate has the potential to do so, the examiners may allow the candidate to the opportunity to resubmit and be re-examined. Re-examination may be for the same or lower award and conducted by all examiners. Resubmission of the thesis will be within a maximum period of one year from the date of the first examination. |
| 8.4.14 | Where amendments or corrections are required to a candidate’s thesis as per regulation 8.4.11 and 8.4.12, Examiners will specify in writing to the candidate what amendments or corrections are required. |
| 8.4.15 | Where a candidate is either; not awarded, as per regulation 8.4.9C, or is permitted to resubmit and be re-examined, as per regulation 8.4.13, Examiners will prepare a joint statement of the deficiencies of the thesis and the reason for their recommendation. In the case of 8.4.13, this statement will also provide written guidance for the candidate in respect of the resubmission. |
| *Where Examiners cannot reach a consensus* | |
| 8.4.16 | Where Examiners do not reach an agreement, they will submit separate reports and recommendations to the Secretary of the RDC within 10 days of the viva voce examination. |
| 8.4.17 | Where the Examiners’ final recommendations are not unanimous, the RDC may:   1. Accept a majority recommendation (provided that the majority includes at least one external examiner); or 2. Accept the recommendation of the external examiner (where there is only one external examiner); or 3. Require the appointment of an additional external examiner |
| 8.4.18 | An additional external examiner appointed, as per regulation 8.4.17, will prepare an independent preliminary report on the thesis and, if necessary, conduct a further viva voce examination. They will not know the other examiners’ recommendations ahead of examining the work. The RDC will consider the reports and recommendations of all examiners and make a final decision on the examination outcome. |
| *Resubmission and re-examination* | |
| 8.4.19 | The RDC will permit a candidate to resubmit and be re-examined for an award only once following a category B1 or B3 outcome at the first examination. Resubmission of the thesis will be within a period of one year from the date of the first examination. Examiners will prepare written guidance for the candidate in respect of the resubmission, as per regulation 8.4.15. |
| 8.4.20 | The RDC may appoint an additional external examiner for the re-examination. |
| 8.4.21 | Re-examination will include a viva voce examination unless, the first viva voce was satisfactory and, having examined the resubmitted thesis, the examiners agree that the candidate has met the criteria for the award. |
| 8.4.22 | In all other respects, the re-examination will be conducted in the same way as the first examination. |
| 8.4.23 | Following completion of the re-examination, Examiners may recommend an outcome from the options available as per regulation 8.4.9 **except** that options B1 and B3 (resubmission for the same or lower award) are no longer available. |
| *Suspected academic misconduct at examination stage* | |
| 8.4.24 | One of the duties of the Examining Panel is to determine that the work presented is the candidate’s own. Should the examiners have any suspicions of academic misconduct, the work submitted may be analysed using plagiarism detection software. Alternatively, examiners may seek to explore any concerns during the viva voce examination. |
| 8.4.25 | Where the Examining Panel identifies that an offence has been committed, they must refer to the University’s *Academic Integrity Regulations* and *Academic Misconduct penalties tariff for research degrees*. The Examining Panel will make a recommendation to the RDC following consideration of the range of available outcomes. |
| *Appealing a decision of Research Degrees Committee on the examination outcome* | |
| 8.4.26 | A candidate may, following either the first examination or re-examination, appeal against the decision of the Research Degrees Committee but only under specific criteria, in line with the University’s *Academic Appeals Regulations and Procedures for Research Degrees*. |
| **8.5** | **Posthumous Awards** |
| 8.5.1 | The RDC may award a research degree posthumously where a thesis is complete and is ready for submission and examination. The RDC will seek appropriate evidence that the candidate would have been successful in the viva voce examination had they been examined. |

**Annex 1**

AN EVALUATION OF WORKING WOMEN'S FAMILY ROLES IN MANCHESTER'S TEXTILE INDUSTRY IN THE 19TH CENTURY

LIZZIE GASKELL

A submission presented in partial fulfilment of the requirements of the University of South Wales / Prifysgol De Cymru

for the degree of Doctor of Philosophy

This study was carried out

in collaboration with the Engels' Historical Society

January 2022