

# ***RESEARCH DEGREE REGULATIONS***

**Regulations for the University's awards of Doctor of Philosophy, Professional Doctorates,  
Master of Philosophy, Masters by Research and the Research Diploma**

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# 1. Programmes

1.1 The University of South Wales may award the following:

- Research Diploma (RDip)
- Masters by Research (MA or MSc by Research)
- Master of Philosophy (MPhil)
- Doctor of Philosophy (PhD)
- Professional Doctorates:
  - Doctor of Business Administration (DBA)
  - Doctor of Psychology (Counselling Psychology) (DPsych)

1.2 Programmes of research may be proposed in any field of study subject to the requirement that the proposed programme is capable of leading to scholarly research and to its presentation for assessment by appropriate examiners. The submission for examination is usually in the form of a written thesis, except in the case of the MPhil or PhD which **may** take alternative forms (refer to paragraph 1.3 and 1.4).

1.3 A doctoral degree (**Doctor of Philosophy (PhD)** or **Professional Doctorate**) shall be awarded to a candidate who has demonstrated the 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 oral examination to the satisfaction of examiners.

A **Professional Doctorate** candidate shall follow an approved programme requiring in addition the completion of taught elements at advanced level, and their research shall have relevance and application to a defined area of professional practice. The taught element will be equivalent to 240 credits.

1.4 A research degree at Masters level including both **Master of Philosophy (MPhil)** and **Masters 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 oral examination to the satisfaction of examiners.

For the **Masters by Research** award, the scope and depth of the investigation will be less than that required for the **MPhil** and consequently, both the registration period and the submitted text length will be shorter to reflect this.

- 1.5 A **Research Diploma (R Dip)** 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 will have presented and defended a thesis of an appropriate literary standard (or alternative form of submission as appropriate), by oral examination to the satisfaction of examiners. The R Dip may only be awarded at the discretion of the Research Programmes Sub Committee (RPSC) to those candidates examined for a research degree at Masters or Doctoral level who have not demonstrated the criteria required for the research degree to be conferred.
- 1.6 Research degree candidates shall follow an approved programme leading to one of the following forms of submission for examination:
- (a) **Thesis**  
This is the traditional form of submission for a research degree.
  - (b) **Portfolio** (MPhil and PhD candidates only)  
The portfolio should relate to a maximum of three projects accompanied by a critical overview. The projects may be work related and derived from empirical or conceptual investigation and the overview will demonstrate the relationship between them. Together, the projects and critical overview should fulfil the requirements for a research degree at the relevant level (refer to sections 1.3 and 1.4)
  - (c) **Publication** (PhD candidates only)  
The approved body of published work should demonstrate significant authorship by the candidate and be accompanied by a critical overview. Registration for submission by this route is appropriate for candidates who have already completed, or reached an advanced stage of submission of the published work.  
  
This route is restricted to past and present members of staff, alumni and applicants who have very strong links with the University. Together, the publications and critical overview should fulfil the requirements for a research degree at doctoral level (refer to section 1.3).
- 1.7 The University encourages co-operation with industrial, commercial, professional or research establishments for the purposes of research leading to research degree awards. Such co-operation is intended: to encourage outward looking and relevant research, to extend the candidate's own experience and perspectives of the work, to provide a wider range of experience and expertise to assist in the development of the project, to be mutually beneficial, and (where appropriate) to enable the candidate to become a member of a research community.

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

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

## 2. Quality Assurance

The Research Programmes Sub Committee (RPSC) will discharge, on behalf of the Research Committee and Quality Assurance Committee the responsibilities for the quality and standards of its research degrees.

### 2.1 Research Programmes Sub Committee (RPSC)

The terms of reference for the Research Programmes Sub Committee are as follows:

- To consider issues or concerns raised by research students
- To consider examination arrangements, including the approval of examiners.
- To receive approval of and consider ethical issues.
- To periodically review examiners' reports.
- To consider the recommendations of examiners for the conferment of research awards.
- To audit the process of annual monitoring of research degree students and FRPCs.
- To consider ethical issues.
- To identify and disseminate good practice in the delivery of research degrees.
- To make recommendations to the Research Committee, Quality Assurance Committee and Faculty Executive as appropriate.
- To undertake such matters as required by the Research Committee and Quality Assurance Committee.

### 2.2 Faculty Research Programmes Committee (FRPC)

Faculties operate under the same quality assurance structure and in accordance with the University's approved quality assurance procedures, as agreed by Academic Board and published in the University's research handbooks. All faculties undertake the quality assurance of research degrees through a Faculty Research Programmes Committee (FRPC) which reports to the Research Programmes Sub Committee (RPSC). The FRPC considers applications, notes registrations, ensures ethical issues have been considered (unless the faculty has an ethics committee) and undertakes transfer, extension/suspension and changes thereto of research students. The Faculty Ethics Champion is a member of FRPC and advises the committee on ethical issues.

The terms of reference of FRPCs are as follows:

- To consider issues or concerns raised by research students
- To consider the approval of research degree applications submitted to the faculty
- To note the registrations of students for research degrees in the faculty and to transfer students from MPhil to PhD.
- To monitor the progress of research students in the faculty.

- To ensure that appropriate ethical approval is secured for each research degree unless the faculty has an ethics committee.
- To undertake any other task delegated to it by the Research Programmes Sub Committee.
- To report to the Research Programmes Sub Committee and Faculty Executive as appropriate.

The Faculty Research Programmes Committee (FRPC) will be responsible and accountable for the delegated powers for the faculty and will be expected to ensure that all quality assurance activities are carried out with the required level of independence.

Both the RPSC and FRPCs will be required to conform to the University's Research Degree Regulations and to follow the practices and procedures set out in the Regulations and Codes of Practice.

### **2.3 Review of a decision of the RPSC/FRPC/Progress Board**

- (a) A candidate who requests a review of a decision of the RPSC/FRPC/Progress Board (e.g., not to register, approve examination arrangements, extend registration, permit re-enrolment etc) should submit their request in writing to the Chair of the RPSC/FRPC/Progress Board.
- (b) The Chair will pass the details of the request to an appropriate adviser outside of the Committee (and possibly the University) who has not previously been involved with the candidate or project but who will be familiar with the research degree procedures. The adviser will be asked to provide a written report. On receipt of the report RPSC/FRPC/Progress Board will review the case.
- (c) Where a candidate is not satisfied with the outcome of the review carried out in (b) above, she/he should submit details of their review request in writing to the University Secretary who would follow the same procedure as in (b) above but with a different and independent adviser.
- (d) Where a candidate is not satisfied with the outcome of the review in (c) above, and following the issue of a Completion of Procedures letter, they may lodge a complaint with the Office of the Independent Adjudicator (OIA). Details of the OIA and the relevant information in relation to the Scheme can be accessed at [www.oiahe.org.uk](http://www.oiahe.org.uk).

### 3. Application and qualifications

- 3.1 A person may apply to register for any of the research awards listed below by completing the appropriate form and submitting a research proposal:
- (a) Masters by Research
    - i. by thesis
  - (b) Master of Philosophy
    - i. by thesis
    - ii. by portfolio
  - (c) Master of Philosophy with possibility of transfer to Doctor of Philosophy:
    - i. by thesis
    - ii. by portfolio
  - (d) Doctor of Philosophy:
    - i. by thesis
    - ii. by portfolio
    - iii. by publication
  - (e) Professional Doctorate
    - i. Doctor of Business Administration (DBA)
    - ii. Doctor of Psychology (Counselling Psychology) (DPsych)
- 3.2 In approving an application for enrolment and registration, the Faculty's Research Programmes Committee shall satisfy itself that:
- a the candidate is suitably qualified and/or experienced; including a sufficient level of English language competence (a **minimum** IELTS score of 6.5) with at least 6.5 in reading and writing
  - b the proposed research fits within the research focus of the faculty and / or University
  - c there is a potential for contribution to knowledge where appropriate
  - d the faculty is able to provide suitable research supervision
  - e the University is able to provide appropriate facilities for the conduct of research in the area of the research programme
  - f the form of submission is appropriate to the candidate
  - g the applicant has been made aware of the University's Ethical Guidelines and faculty's governance framework
  - h the proposal is the candidates own work\*
- 3.3 An applicant for registration for the degree of Masters by Research shall normally hold one of the following:
- (a) first or upper second class honours degree in a relevant subject

- (b) appropriate, relevant qualification or relevant experience which is regarded by the Faculty Research Programmes Committee as equivalent.

3.4 An applicant for registration for the degree of MPhil or MPhil with possibility of transfer to PhD shall normally hold one of the following:

- (a) first or upper second class honours degree in a relevant subject
- (b) appropriate, relevant qualification or relevant experience which is regarded by the Faculty Research Programmes Committee as equivalent.

3.5 An applicant for registration for Doctorates in Business Administration (DBA), shall normally hold one of the following as well as access to one or more organisations for the purpose of conducting research:

- (a) a Masters degree in Business Administration or the Social Sciences
- (b) significant management experience

3.6 An applicant holding qualifications other than those in paragraphs 3.3 to 3.5 shall be considered on her/his merits and in relation to the nature and scope of the programme of work proposed.

In considering an applicant in this category, the Faculty Research Programmes Committee (FRPC) shall look for evidence of the candidate's ability and background knowledge in relation to the proposed research. Professional experience, publications, written reports or other appropriate evidence of accomplishment shall be taken into consideration.

The Faculty Research Programmes Committee (FRPC) may require an applicant to pass an externally assessed qualifying examination at final year honours degree level before registration is approved. An applicant wishing to be considered under this regulation shall include in the application for registration the names of two suitable persons whom the University may consult concerning the candidate's academic attainment and suitability for research.

3.7 Direct registration for the degree of PhD may be permitted for an applicant holding a relevant Masters degree with a significant research component or equivalent, provided that the Masters degree is in a discipline which is appropriate to the proposed research and that the Masters degree included training in research and the execution of a research project.

The Faculty Research Programmes Committee may also register for PhD direct a candidate who, although lacking a Masters degree, has a good honours degree (or equivalent) in an appropriate discipline and has had appropriate research or professional experience at postgraduate level which has resulted in published work, written reports or other appropriate evidence of accomplishment.



A candidate with a Masters degree wishing to register directly for the award of PhD will be required to provide the following information with the application to register:

- (a) An outline of the title and content of the candidate's Masters degree with special reference to the training in research received. Where possible a copy of the Masters degree abstract shall be provided.
- (b) The name and address of an independent academic referee who may be contacted to comment on the candidate's performance on the Masters degree.

A candidate without a Masters degree wishing to register directly for PhD by any route will also be required to provide the information in 3.5 above.

Applications for PhD by Publication are **restricted** to past and present members of staff, alumni and applicants who have very strong links with the University.

- 3.8 An applicant whose work forms part of a larger group project may register for a research degree or diploma. In such cases each individually registered project shall in itself be distinguishable for the purposes of assessment and be appropriate for the award being sought. The application shall indicate clearly each individual contribution and its relationship to the group project.
- 3.9 Where a research degree project is part of a piece of funded research, the Faculty Research Programmes Committee (FRPC) shall establish to its satisfaction that the terms on which the research is funded do not detract from the fulfilment of the objectives and requirements of the candidate's research award.
- 3.10 The Faculty Research Programmes Committee (FRPC) may approve an application from a person proposing to complete their research award by distance learning either within or outside the UK, provided that:
  - (a) there is satisfactory evidence as to the facilities available for the research both in the University and at the candidate's location; and
  - (b) the arrangements proposed for supervision enable frequent and substantial contact between the candidate and the supervisor(s) including email, telephone and face-to-face contact.
- 3.11 Registration will commence from the date of enrolment. In the case of candidates transferring from another institution, the registration date will be backdated, to take into account the time already spent on the project.
- 3.12 Where a candidate has previously undertaken research as a registered candidate for a research degree, the Faculty Research Programmes Committee (FRPC) may

approve a shorter than usual registration period which takes into account all or part of the time already spent by the candidate on such research.

- 3.13 Where a candidate is registered for a research degree at another University, they may apply to transfer their registration. In such cases, the majority of the work submitted in the thesis must be in relation to research supervised following formal transfer to the University.

In considering applications to transfer from another University, FRPCs will require:

- i. A letter of agreement from the previous University
- ii. A progress report from the supervisor
- iii. The title of the research and copy of the original approved research proposal
- iv. Dates of the original enrolment

## 4. Initial registration

4.1 A candidate shall follow a programme of related studies where this is necessary for the attainment of competence in research methods, knowledge related to the subject of the thesis or generic skills training. This programme shall be intended to provide the candidate with one or more of the following:

- (a) the skills and knowledge necessary for the pursuit of the proposed research;
- (b) a body of knowledge normally associated with a degree in the field of study of the proposed research; and
- (c) breadth of knowledge in the related subjects.

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

The creative work shall be clearly presented in relation to the argument of a written thesis and set in its relevant theoretical, historical, critical or design context. The thesis itself shall conform to the usual scholarly requirements and be of an appropriate length (see section 14).

The final submission shall be accompanied by some permanent record (for instance, video, photographic record, musical score, or diagrammatic representation) of the creative work, where practicable, bound with the thesis.

The application for registration shall set out the form of the candidate's intended submission and of the proposed methods of assessment.

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

The final submission shall include a copy of the edited text(s) or collection of artefact(s), appropriate textual and explanatory annotations, and a substantial introduction and critical commentary which set the text in the relevant historical, theoretical or critical context. The thesis itself shall conform to the usual scholarly requirements and be of an appropriate length (see section 14).

4.4 Except where permission has been given for the submission and the oral examination to be in another language, the Research Programmes Sub

Committee shall satisfy itself that the candidate has sufficient command of the English or Welsh language to complete satisfactorily the programme of work and to prepare and defend a submission in English or Welsh. Permission to present a submission in another language shall normally be sought at the time of application for registration. Permission to present a submission in a language other than English or Welsh shall normally only be given if the subject matter of the submission involves language and related studies.

The Research Programmes Sub Committee may permit a candidate to present a submission in Welsh provided that it is satisfied that adequate supervision in Welsh can be arranged and that examiners who are capable of examining the submission in Welsh are likely to be available.

- 4.5 A candidate intending to register for a research programme is required to enrol as a student of the University and pay the appropriate fees.
- 4.6 A candidate may register on a full-time or a part-time basis. A **full-time candidate** shall normally devote on average at least **35 hours per week** to the research; a **part-time candidate** on average at least **12 hours per week**.
- 4.7 The Faculty Research Programmes Committee (FRPC) may permit a candidate to register for another course of study concurrently with the research programme registration, provided that either the research degree registration or the other course of study is by part-time study and that, in the opinion of the FRPC, the dual registration will not detract from the research. No submission for a research degree can include work that has been previously submitted for another award.
- 4.8 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 of the work, application for approval shall normally be made to the Research Programmes Sub Committee at the time of registration. In cases where the need for confidentiality emerges at a subsequent stage, a special application for the submission to remain confidential after submission shall be made immediately to the Research Programmes Sub Committee the period approved shall normally not exceed two years from the date of the oral examination.

## 5. The registration period

5.1 The minimum and maximum periods of registration are as follows:

	<b>Minimum</b>	<b>Maximum</b>
<b>Masters by Research</b>		
full-time	12 months	18 months
part-time	24 months	36 months
<b>MPhil by thesis</b>		
full-time	18 months	36 months
part-time	30 months	48 months
<b>MPhil by portfolio</b>		
part-time	12 months*	36 months
<b>MPhil/PhD by thesis</b>		
full-time	33 months	60 months
part-time	45 months	72 months
<b>PhD by thesis [direct]</b>		
full-time	24 months	60 months
part-time	36 months	72 months
<b>PhD by publication</b>		
part-time	12 months	24 months
<b>PhD by portfolio</b>		
part-time	12 months*	60 months
<b>Professional Doctorate</b>		
full-time (DPsych)	33 months	60 months
part-time (DPsych, DBA)	45 months	72 months

\*This minimum period may be appropriate where a candidate has already completed a significant part of the work prior to registration.

- 5.2 A full-time candidate shall normally reach the standard for MPhil within two years of registration and for PhD within three years.
- 5.3 Where there is evidence that the research is proceeding exceptionally well, the Faculty Research Programmes Committee may approve a shorter minimum period of registration. An application for such shortening should be submitted at the same time as the application for approval of examination arrangements.
- 5.4 Where a candidate changes from full-time to part-time study or vice versa, the minimum and maximum registration periods shall be calculated pro rata. Notification of such a change will be approved by the Faculty Research Programmes Committee.
- 5.5 A candidate seeking a change to a registered research programme shall apply in writing to the Graduate Research Office for consideration by the relevant Faculty Research Programmes Committee.

- 5.6 The progress of research students towards successful completion within approved time periods will be reviewed regularly.

The Director of Studies is expected to manage the supervisory process such that at least one supervisor(s) is in contact with their research student as appropriate and at least **once per month**. A formal **record of each meeting** will be made and provided to (all) the supervisor(s) and student.

In addition, once per year each student and the Director of Studies or nominated supervisor, acting on behalf of the team, should complete a separate statement of progress.

In their statement of progress, the Director of Studies or nominated supervisor will grade each student's progress:

- A Excellent progress with no problems and completion anticipated on time
- B Satisfactory progress, some issues exist, but completion anticipated on time
- C Some progress being made, but there is a serious question as to whether the thesis will be completed satisfactorily on time
- D Progress unsatisfactory

In the event of a student's progress being graded C or D, the Director of Studies or nominated supervisor should include details of any factors that may have impeded progress during the year.

- 5.7 A **Progress Board** will be convened to review each student's progress, using the annual statement of progress and other relevant material such as supervision and / or transfer reports.

Candidates are invited to submit a candidate progress report form to highlight to the Progress Board any issues that may have impeded their progress.

The **Progress Board** will make one of the following recommendations:

1. Recommend a further period of enrolment
2. Remedial work be completed within a specified timeframe
3. Termination of enrolment

Candidates will be informed and consulted on any changes to their registration and may appeal against the decision of the Progress Board (refer to section 2.3).

- 5.8 The Progress Board will be monitor completion of the taught element of Professional Doctorate Programmes.

- 5.9 Where a candidate is prevented, by ill health or other cause, from making progress with their research, the registration may be suspended by the FRPC, normally for a single period of up to 12 months.
- 5.10 Where plagiarism is suspected in a candidate's work prior to thesis submission, the University's Academic Misconduct Regulations <http://uso.southwales.ac.uk/StudentCasework/AI/> will apply.
- 5.11 A candidate shall submit their thesis, or other material, to the Graduate Research Centre before the expiry of the maximum period of registration.
- 5.12 The Faculty Research Programmes Committee (FRPC) may extend an MPhil or PhD candidate's period of registration, normally for not more than 12 months. A candidate seeking such an extension shall apply on the appropriate form (see Annex 1) which is submitted to the Graduate Research Office and considered by the FRPC.
- 5.13 Where a candidate has discontinued their research, the withdrawal of registration shall be notified in writing to the Graduate Research Office.
- 5.14 A candidate shall pay such tuition fees as determined by the University.

## 6. Supervision

- 6.1 A research candidate will have one main supervisor (Director of Studies) who will be part of a supervisory team consisting of at least two and not more than three supervisors.
- 6.2 All supervisors must be research active and have relevant expertise. The supervision team will usually have a combined experience of supervising at least two candidates to successful completion at the level of the proposed programme and a significant research and publications record in the field.
- 6.3 One supervisor will be the Director of Studies (first supervisor) and a nominated supervisor will have responsibility to supervise the candidate on a regular and frequent basis. The responsibilities of the nominated supervisor will be to ensure, within the procedures of the University and relevant Faculty that:
  - a) the candidate undertakes the Postgraduate Certificate Research (PGCR) or an appropriate programme of related studies
  - b) any necessary facilities are indicated to his/her Dean of Faculty and on agreement for these resources, provided by the appropriate department
  - c) the candidate receives any necessary guidance in following her/his research programme
  - d) all duties associated with enrolment/registration, monitoring and examination processes are dealt with
  - e) the candidate has a defined programme of development and adheres to it
- 6.4 The Director of Studies will be a member of staff at the University and the candidate will normally be registered in the same faculty as their Director of Studies. The Director of Studies is responsible to the Dean of Faculty in the first instance for the duties outlined in 6.3 above. Other members of the supervisory team may be based in other institutions in exceptional circumstances.
- 6.5 A supervisor may supervise no more than 8 FTE research students (up to a maximum headcount of 10). This includes no more than 6 FTE as Director of Studies. The maximum permitted may be increased in exceptional circumstances but only following approval of the supervisor's line manager and Faculty Research Programmes Committee (FRPC).
- 6.6 In addition to the supervisors, an adviser may be proposed to contribute some specialised knowledge or a link with an external organisation.
- 6.7 A candidate for a research award shall be ineligible to act as Director of Studies for another research award candidate but may act as a supervisor or adviser providing the candidate is registered at another institution.



- 6.8 A proposal for a change in supervision arrangements shall be made on the appropriate form (see Annex 1) to the Graduate Research Office for consideration at the relevant FRPC.
- 6.9 All new supervisors **must** undertake a training course for research supervisors and all other supervisors are encouraged to attend. An inexperienced supervisor may be added to the supervision team and will be mentored by other members of the team.
- 6.10 The Director of Studies is expected to manage the supervisory process such that at least one supervisor(s) is in contact with their research student as appropriate and at least **once per month**. A formal record of each meeting will be made and will include objectives and targets for the next meeting. The record of each meeting will be provided to the supervisor(s) and student.
- 6.11 The records of the meetings will be submitted to the Progress Board if required.

## 7. Transfer of registration from MPhil to PhD

- 7.1 A candidate registered initially for MPhil with possibility of transfer to PhD who wishes to transfer to PhD should apply to the Faculty Research Programmes Committee (FRPC) within 9-15 months of registering for full-time study and within 18-24 months of registering for part-time study.
- 7.2 In support of the application, a candidate applying to transfer to PhD shall prepare for the Faculty Research Programmes Committee (FRPC) a full progress report on the work undertaken.
- The progress report should normally be 3,000 to 6,000 words in length and include:
- a) A review and discussion of the work already undertaken
  - b) A statement of the intended further work (including details of the original contribution to knowledge likely to emerge)
  - c) A research schedule
- 7.3 Before approving transfer from MPhil to PhD the Faculty Research Programmes Committee (FRPC) must be satisfied that the candidate has made sufficient progress and that the proposed programme provides a suitable basis for work at PhD standard which the candidate is capable of pursuing to completion. In order to arrive at its decision the candidate or the supervision team will provide the Faculty Research Programmes Committee (FRPC) with the names and addresses of three independent specialists one of whom may be asked to comment on the application and the transfer report.
- 7.4 The independent specialist must have experience of supervising to successful completion at PhD level.
- 7.5 The independent specialist cannot be appointed as internal or external examiner for the candidate.
- 7.6 An oral assessment (*viva voce*) will be used by the Faculty Research Programmes Committee (FRPC) as part of the assessment of the case for transfer to PhD. The oral assessment (*viva voce*) whenever possible will be conducted by the independent specialist (internal or external) who will be considering the transfer report and observed by the Director of Studies or supervisor. The outcome of the oral assessment (*viva voce*) will be included with the transfer report to be considered by the Faculty Research Programmes Committee (FRPC).

- 7.7 The transfer process will have one of the following outcomes:
- (a) Proceed to PhD
  - (b) Proceed to PhD with certain conditions which must be addressed within an agreed timeframe
  - (c) Not to proceed to PhD but to make amendments to the report and resubmit for further assessment within an agreed timeframe
  - (d) Not to proceed to PhD and to submit for MPhil
  - (e) The candidate is requested to withdraw
- 7.8 A candidate should receive written feedback on their transfer application if they have not been permitted to proceed to PhD or are required to resubmit. Only one resubmission will be permitted.
- 7.9 A candidate registered for the degree of MPhil only may apply to transfer the registration to PhD. In such cases the candidate's full transfer report shall be submitted to the Faculty Research Programmes Committee (FRPC) along with the application for transfer and the names and addresses of three independent specialists.
- 7.10 A candidate who is registered direct for the degree of PhD by thesis or portfolio and who is unable to complete the approved programme of work may, at any time prior to the submission of the thesis for examination, apply to the Faculty Research Programmes Committee (FRPC) for the registration to change to that for MPhil. A candidate who registered for MPhil and has transferred registration to PhD may revert to that of MPhil under the same circumstances.

## 8. Examinations - general

In this section the term 'Thesis' refers either to the thesis or to an alternative form of submission.

- 8.1 The examination for the research degree has two stages: firstly the submission and preliminary assessment of the thesis and secondly its defence by oral or approved alternative (see paragraph 8.3) examination.
- 8.2 A candidate whose programme of work includes formally assessed course work in a programme of work leading to the degree of PhD, MPhil or Master by Research or Professional Doctorate shall not be permitted to proceed to a further stage of the examination for the degree until the course work examiners are satisfied with the candidate's performance. The result of the assessment shall be communicated to the examiners of the thesis.
- 8.3 A candidate shall normally be examined orally on the programme of work and on the field of study in which the programme lies. Where for reasons of sickness, disability or comparable valid cause the Research Programmes Sub Committee is satisfied that a candidate would be under serious disadvantage if required to undergo an oral examination, an alternative form of examination may be approved. Such approval shall not be given on the grounds that the candidate's knowledge of the language in which the thesis is presented is inadequate.
- 8.4 The oral examination shall normally be held at the University. In exceptional circumstances the Research Programmes Sub Committee may approve an oral examination being conducted elsewhere or through electronic means. Approval for this should be sought by the Director of Studies at the time of appointment of examiners and at least eight weeks ahead of the viva.

Each case will be considered on its individual merits although the following should be addressed by the Director of Studies:

- (a) Provision of written confirmation from all participants (including the candidate) that they have no objection to the oral examination being held, at an agreed time, by electronic means.
- (b) Provision of written confirmation from the candidate that he / she waives 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.
- (c) Assurance that a senior member of academic staff will be present at the same location as the candidate during the oral examination and who is able to identify the candidate. Where the candidate is a member of staff

at another higher education institution, a senior member of staff at their host institution may be present instead.

- (d) Assurance that all participants will attend the examination via an approved video-conferencing facility and that the necessary technical support will be available at both sites.
- 8.5 Persons other than the candidate or examiners, e.g. supervisors, advisors, Chair or members of the Research Programmes Sub Committee, may, with the consent of the candidate, attend the oral examination to observe and will withdraw prior to the deliberations of the examiners on the outcome of the examination.
- 8.6 The Research Programmes Sub Committee shall make a decision on the reports and recommendation(s) of the examiners in respect of the candidate. The power to confer the degree shall rest with the Academic Board of the University.
- 8.7 The award of Research Diploma and the degrees of Master by Research, MPhil PhD or Professional Doctorate may be awarded posthumously on the basis of a thesis completed by a candidate who is ready for submission for examination. In such cases the Research Programmes Sub Committee shall seek evidence that the candidate would have been likely to have been successful had the oral examination taken place.
- 8.8 Where evidence of cheating or plagiarism in the preparation of the thesis or other irregularities in the conduct of the examination come to light subsequent to the recommendation of the examiners, the Research Programmes Sub Committee shall consider the matter, if necessary in consultation with the examiners, and take appropriate action.
- 8.9 The Research Programmes Sub Committee shall ensure that all examinations are conducted and the recommendations of the examiners are presented wholly in accordance with the University's regulations. In any instance where the Research Programmes Sub Committee is made aware of a failure to comply with all the procedures of the examination process, it may declare the examination null and void and appoint new examiners.

## 9. Examination procedures

In this section the term 'Thesis' refers either to the thesis or to an alternative form of submission

- 9.1 The Director of Studies shall submit on the appropriate form (see Annex 1) the arrangements for the candidate's examination to the Research Programmes Sub Committee (including the name of a proposed Chair for the oral examination)\*. The examination may not take place until the arrangements have been approved. In special circumstances the Research Programmes Sub Committee may act directly to appoint examiners and arrange the examination of a candidate.
- 9.2 The Director of Studies shall make known to the candidate the procedure to be followed for the submission of the thesis (including the number of copies to be submitted for examination) and any conditions to be satisfied before the candidate may be considered eligible for examination.
- 9.3 The Director of Studies is required to notify the candidate, all supervisors, examiners, and the Secretary of the Research Programmes Sub Committee of the date, time and place of the oral examination. This should be done not less than seven days in advance of the examination.
- 9.4 The Secretary of the Research Programmes Sub Committee shall send a copy of the thesis to each examiner, together with the examiner's preliminary report form (see Annex 1) and the University's Code of Practice for Research Degree Examiners and shall ensure that the examiners are properly briefed as to their duties.
- 9.5 The Secretary of the Research Programmes Sub Committee shall ensure that all the examiners have completed and returned the preliminary reports before the oral examination takes place.

\* This should be done approximately four months prior to the expected date of the examination.

## 10. The candidate's responsibilities in the examination process

In this section the term 'thesis' refers to the thesis or alternative form of submission

- 10.1 The candidate shall ensure that the thesis is submitted to the Secretary of the Research Programmes Sub Committee before the expiry of the registration period.
- 10.2 The submission of the thesis for examination shall be at the sole discretion of the candidate. While a candidate would be unwise to submit the thesis for examination against the advice of the supervisors, it is her/his right to do so. Equally, candidates should not assume that a supervisor's agreement to the submission of a thesis guarantees the award.
- 10.3 The candidate shall satisfy any conditions of eligibility for examination required by the Research Programmes Sub Committee.
- 10.4 The candidate shall take no part in the arrangement of the examination and shall have no formal contact with the external examiner(s) between the appointment of the examiners and the oral examination.
- 10.5 The candidate shall confirm, through the submission of a declaration form (see Annex 1), that the thesis has not been submitted for a comparable academic award. The candidate shall not be precluded from incorporating in the thesis, covering a wider field, work which has already been submitted for a degree or comparable award, provided that it is indicated, on the declaration form and also in the thesis, which work has been so incorporated.
- 10.6 The candidate shall ensure that the thesis format is in accordance with the requirements of the University's regulations (see section 14). Except in the case of PhD by publication, the thesis may be submitted for examination either in a permanently bound form or in a temporarily bound form which is sufficiently secure to ensure that pages cannot be added or removed. The candidate shall also submit one electronic copy of the thesis on CD-ROM. \*The thesis shall be presented in a permanent binding of the approved type (see paragraph 14.11 for details) before the degree may be awarded. A thesis submitted in a temporarily bound form shall be in its final form in all respects save the binding. In such cases the candidate shall confirm that the contents of the permanently bound thesis are identical with the version submitted for examination, except where amendments have been made to meet the requirements of the examiners.

\* For instance, perfect-binding which is a method of binding single pages by gluing them together on the spine of the document.

# 11. Examiners

- 11.1 A candidate shall be examined by at least two and normally not more than three examiners (except where paragraphs 12.7, 13.2, or 13.8 apply), comprising at least one internal and one external examiner. In cases where it proves impossible to appoint a suitable internal examiner and a special case has been made for an examiner who has specialist knowledge, two external examiners may be appointed.
- 11.2 An external examiner shall be independent both of the University and of the Collaborating Establishment and shall not have acted previously as the candidate's supervisor or adviser.

An external examiner shall normally not be either a supervisor of another candidate at the University, a close collaborator of one of the supervisors or an external examiner on a taught course at the University.

An external examiner must be able, and be seen to be able, to make an independent assessment of the candidate's work.

Former members of staff, or research students, of the University shall normally not be approved as external examiners until **five years** after the termination of their employment with, or until **five years** after they have been awarded their research degree by, the University.

The Research Programmes Sub Committee does not normally appoint as an examiner a specialist who has previously commented at the registration or transfer stage unless a specific case is made.

The Research Programmes Sub Committee shall ensure that the same external examiner is not approved so frequently that her/his familiarity with the department might prejudice objective judgement: normally the same external examiner shall not be approved more than twice within a five year period.

Reciprocal examining with a supervisor from another institution is not permitted.

- 11.3 An internal examiner shall be defined as an examiner who is:
- (a) A member of staff of the University who is independent of the project
  - (b) A member of staff of the candidate's Collaborating Establishment
  - (c) An Emeritus Professor of, or appropriate Visiting Scholar to, the University



Supervisors should avoid repeatedly nominating the same person as an internal examiner. The proposed internal examiner may be acquainted with the supervision team and / or candidate and this does not preclude their appointment as an examiner. However, there should be no personal link between the examiner and the candidate or supervision team, nor should there be any significant research contact, which might inhibit a completely objective examination of the candidate's work.

- 11.4 Where two external examiners are proposed, only one internal examiner may be proposed.
- 11.5 Where the candidate is either: (1) a member of academic staff, or (2) a member of professional staff in the faculty where they are registered for their postgraduate research degree, two external examiners will be required.

The following exceptions to this regulation apply:

- 1) Candidates including research students, research assistants and research fellows who have engaged in only hourly paid lecturing work alongside their postgraduate research degree.
- 2) Candidates employed as professional staff outside the faculty in which they are registered for their postgraduate research degree.

In certain cases it may become necessary to reconstitute an Examining Board if a candidates' employment status with the University changes between the date of appointment of examiners and the date of the examination.

- 11.6 There may be other circumstances (in addition to those outlined in 11.5) where it may be good practice to appoint a second external examiner in order to establish the objectivity of the examining panel.
- 11.7 Normally, the examination team will have substantial examining experience at the level of the award being considered (i.e. a combined examining experience of 3 or more research programmes at the level of the examination).
- 11.8 No candidate studying for a research award shall act as an examiner.
- 11.9 The University shall determine and pay the fees and expenses of external examiners.

## 12. First examination

In this section the term 'Thesis' refers to either to the thesis or to an alternative form of submission.

For research degrees it is one of the duties of the examination team to determine that the work presented is the candidate's own. Should there be any suspicions of unfair practice, then the examiners may request that the thesis is submitted through plagiarism detection software. Alternatively, they may seek to explore these issues during the viva voce examination.

Should a case of unfair practice be demonstrated, examiners will refer to the University's Academic Misconduct penalties tariff for research degrees

<http://uso.southwales.ac.uk/StudentCasework/AI/>

The submission will be deemed not to have met the standards for the awarding of the degree and examiners will consider the range of available outcomes according to the extent and seriousness of the infringement.

12.1 Each examiner shall read and examine the thesis and submit, on the appropriate form, an independent preliminary report to the Secretary of the Research Programmes Sub Committee before any oral or alternative form of examination is held. In completing the preliminary report, each examiner shall consider whether the thesis provisionally satisfies the requirements of the award (see section 1) and where possible make an appropriate provisional recommendation subject to the outcome of any oral examination.

12.1.1 The University will appoint an independent person to chair the oral examination to ensure the assessment process is rigorous, fair, reliable and consistent. The Chair must be independent of the student's programme of study and should normally be a **senior academic** who has substantial experience of examining research degrees at or above the level of the examination to be chaired, i.e. MPhil for MPhil and PhD for PhD oral examinations.

The Chair must have a clear understanding of the university's regulations and procedures.

The examiners will have the responsibility of making any academic decisions about the candidate.

12.2 Where the examiners are of the opinion that the thesis is so unsatisfactory that no useful purpose would be served by conducting an oral examination, they may recommend that the Research Programmes Sub Committee dispense with the oral examination and return the thesis for further work. In such cases the examiners shall provide the Research Programmes Sub Committee with written

guidance for the candidate concerning the deficiencies of the thesis. The examiners shall not recommend that a candidate fail outright (see sub-paragraph 12.5d) without holding an oral examination or other alternative examination (see paragraph 8.3). In the case of a PhD by publication the examiners may recommend that further or alternative publications are necessary before the oral examination takes place. A return for further work will only be permitted where a candidate has sufficient time left within their registration period to complete this work. If a candidate has less than one year remaining a return will not be permitted and the examination process should continue to viva.

- 12.3 Following the oral examination the examiners shall, where they are in agreement, submit; on the appropriate form (see Annex 1), a joint report and recommendation relating to the award to the Secretary of the Research Programmes Sub Committee. The preliminary reports and joint recommendation of the examiners shall together provide sufficiently detailed comments on the scope and quality of the work to enable the Research Programmes Sub Committee to satisfy itself that the recommendation chosen in paragraph 12.5 is correct.

Where the examiners are not in agreement, separate reports and recommendations shall be submitted to the Research Programmes Sub Committee within 10 days of the oral examination. The recommendations shall be made on the appropriate form.

- 12.4 The examiners may request a further examination in addition to the oral examination. In such cases the approval of the Research Programmes Sub Committee shall be sought without delay. Where such an examination is arranged following an oral examination, it shall normally be held within two calendar months of the oral examination unless the Research Programmes Sub Committee permits otherwise. Any such examination shall be deemed to be part of the candidate's first examination.

- 12.5 Following the completion of the examination the following recommendations\* are available to examiners:

**A. The candidate fulfils the criteria for the award for which they are registered:**

Examiners may recommend the candidate is awarded their degree.

- i. With no corrections or amendments required
- ii. Subject to **minor** / **major amendments** as indicated by the examiners

**B. 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.

- i. The candidate is permitted to revise and resubmit for the award and be re-examined on one further occasion;
- ii. The candidate is offered a lower award or offered a lower award subject to **minor / major amendments** as indicated by the examiners;
- iii. The candidate is permitted to revise and resubmit for a lower award and be-re-examined on one further occasion.

**C. Degree not awarded.**

The candidate is not awarded the degree and is not permitted to be re-examined.

- 12.6 Where the examiners recommend an outcome of ‘award subject to **minor amendments**’ (12.5Aii or 12.5Bii), 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** and will be approved by the internal and / or external examiner(s).
- 12.7 Where the examiners recommend an outcome of ‘award subject to **major amendments**’ (12.5Aii or 12.5Bii), whilst the candidate will have met the criteria for the award, some new work may be required in order for the thesis or alternative form of submission 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** and will be approved by the internal and / or external examiner(s).
- 12.8 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 the opportunity to resubmit and be re-examined. Re-examination may be for the same (12.5Bi) or lower (12.5Bii) award and shall be conducted by all examiners. Resubmission of the thesis will be within a **period of one year** from the date of the first examination.

\* Examiners may indicate informally their recommendation on the result of the examination to the candidate but they shall make it clear that the decision rests with the Research Programmes Sub Committee.

- 12.9 Where the examiners are satisfied that the candidate has in general fulfilled the criteria for the award, but consider that the candidate's thesis requires some amendments and corrections not so substantial as to call for the submission of a revised thesis, and recommend that the award be conferred subject to the candidate amending the thesis to the satisfaction of the internal and/or the external examiner(s), they shall indicate to the candidate in writing what amendments and corrections are required.
- 12.10 Where the examiners' final recommendations are not unanimous, the Research Programmes Sub Committee may:
- (a) accept a majority recommendation (provided that the majority recommendation includes at least one external examiner);
  - (b) accept the recommendation of the external examiner; or
  - (c) require the appointment of an additional external examiner.
- 12.11 Where an additional external examiner is appointed under sub-paragraph 12.10c, she/he shall prepare an independent preliminary report on the basis of the thesis and, if considered necessary, may conduct a further oral examination. That examiner should not be informed of the recommendations of the other examiners. On receipt of the report from the additional examiner the Research Programmes Sub Committee shall complete the examination as set out in paragraph 8.6.
- 12.12 Where the Research Programmes Sub Committee decides that the award be not conferred, the examiners shall prepare an agreed statement of the deficiencies of the thesis and the reason for their recommendation, which shall be forwarded to the candidate by the Secretary to Research Programmes Sub Committee.

## 13. Re-examination

In this section the term 'Thesis' refers to either to the thesis or to an alternative form of submission. I

- 13.1 One re-examination may be permitted by the Research Programmes Sub Committee, subject to the following requirements:
- (a) A candidate who does not fulfil the criteria for the award at the first examination, including where appropriate the oral or approved alternative examination (see paragraph 8.3) may, on the recommendation of the examiners and with the approval of the Research Programmes Sub Committee, be permitted to revise the thesis and be re-examined. This may be for the same or lower award;
  - (b) Examiners shall provide the candidate, through the Research Programmes Sub Committee, with written guidance on the deficiencies of the first submission; and
  - (c) A candidate for a research programme shall submit their thesis for re-examination within one year of the first examination; the Research Programmes Sub Committee may, where there are good reasons, approve an extension of this period.
- 13.2 The Research Programmes Sub Committee may require that an additional external examiner be appointed for the re-examination.
- 13.3 Re-examination will be with an oral examination unless the first oral examination is deemed satisfactory and the examiners agree that the resubmitted thesis meets the criteria of the award for which it is submitted.
- 13.4 In the event of a recommendation where on the first examination the candidate's thesis was satisfactory but their performance in the oral examination (or in relation to other requirements for the award) was unsatisfactory, the candidate shall be re-examined in the oral examination, subject to the time limits prescribed in 13.1c, without being requested to revise and resubmit the thesis.
- 13.5 In the event of a recommendation where on the first examination the candidate's thesis was satisfactory but their performance in relation to other requirements for the award was unsatisfactory, the examiners may propose instead a different form of re-examination to test the candidate's abilities; such may take place only with the approval of the Research Programmes Sub Committee.
- 13.6 Each examiner shall read and examine the thesis and submit, on the appropriate form, an independent preliminary report to the Secretary of the Research

Programmes Sub Committee before any oral or alternative form of examination is held. In completing the preliminary report, each examiner shall consider whether the thesis provisionally satisfies the requirements of the award (see section 1) and where possible make an appropriate provisional recommendation subject to the outcome of any oral examination.

- 13.7 Following the completion of the re-examination, the examiners shall, where they are in agreement, submit, on the appropriate form, a joint report and recommendation relating to the award of the degree to the Secretary to the Research Programmes Sub Committee. The preliminary reports and joint recommendation of the examiners shall together provide sufficiently detailed comments on the scope and quality of the work to enable the Research Programmes Sub Committee to satisfy itself that the recommendation chosen in paragraph 13.8 is correct.

Where the examiners are not in agreement, separate reports and recommendations shall be submitted within 10 days of the re-examination.

- 13.8 Following completion of the re-examination, the following recommendations\* are available to examiners:

**A. The candidate fulfils the criteria for the award for which they are registered:**

Examiners may recommend the candidate is awarded their degree.

- i. With no corrections or amendments required
- ii. Subject to **minor / major amendments** as indicated by the examiners.

**B. 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.

The candidate is offered a lower award or offered a lower award subject to **minor / major amendments** as indicated by the examiners.

**C. Degree not awarded.**

The candidate is not awarded the degree and is not permitted to be re-examined.

\* Examiners may indicate informally their recommendation to the candidate but they shall make it clear that the decision rests with the Research Programmes Sub Committee.

- 13.9 Where the examiners recommend an outcome of ‘award subject to **minor amendments**’ (13.8Aii or 13.8B), 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** and will be approved by the internal and / or external examiner(s).
- 13.10 Where the examiners recommend an outcome of ‘award subject to **major amendments**’ (13.8Aii or 13.8B), whilst the candidate will have met the criteria for the award, some new work may be required in order for the thesis or alternative form of submission to reflect the quality of the research undertaken. This may include limited additional research and analysis / re-writing of sections of text. Major amendments are expected to be completed within a **maximum period of six months** and will be approved by the internal and / or external examiner(s).
- 13.11 Where the examiners are satisfied that the candidate has in general reached the standard required for the award, but consider that the candidate's thesis requires some amendments and corrections not so substantial as to call for the submission of a revised thesis, and recommend that the award be conferred subject to the candidate amending the thesis to the satisfaction of the internal and/or the external examiner(s) (see sub-paragraph 13.8Aii), they shall indicate to the candidate in writing what amendments and corrections are required.
- 13.12 Where the examiners' recommendations are not unanimous, the Research Programmes Sub Committee may:
- a) accept a majority recommendation (provided that the majority recommendation includes at least one external examiner);
  - b) accept the recommendation of the external examiner; or
  - c) require the appointment of an additional external examiner.
- 13.13 Where an additional external examiner is appointed under sub-paragraph 13.12c, she / he shall prepare an independent preliminary report on the basis of the thesis and, if considered necessary, may conduct a further oral examination. That examiner should not be informed of the recommendations of the other examiners. On receipt of the report from the additional examiner the Research Programmes Sub Committee shall complete the re-examination as set out in paragraph 8.6.
- 13.14 A further examination in addition to the oral examination may be requested by the examiners. In such cases the approval of the Research Programmes Sub Committee shall be sought without delay. Where such an examination is arranged following an oral examination, it shall normally be held within two



calendar months of the oral examination unless the Research Programmes Sub Committee permits otherwise.

- 13.15 Where the Research Programmes Sub Committee decides that the award cannot be made, the examiners shall prepare an agreed statement of the deficiencies of the thesis and the reason for their recommendation, which shall be forwarded to the candidate by the Secretary to the Research Programmes Sub Committee.

## 14. The submission

- 14.1 Except with the specific permission of the Research Programmes Sub Committee the submission shall be presented in English or Welsh. Where a submission is presented in Welsh, a summary in English of 1,000 words shall be included in the submission.
- 14.2 There shall be an abstract of approximately 300 words **bound** into the submission which shall provide a synopsis of the submission stating the nature and scope of the work undertaken and of the contribution made to the knowledge of the subject treated.
- 14.3 The submission shall include a statement of the candidate's research objectives and shall acknowledge published or other sources of material consulted (including an appropriate bibliography) and any assistance received.
- 14.4 Where a candidate's research programme is part of a collaborative group project, the submission shall indicate clearly the candidate's individual contribution and the extent of the collaboration.
- 14.5 The candidate shall be free to publish material in advance of the submission but reference shall be made in the submission to any such work. Copies of published material should either be bound in with the submission or placed in an adequately secured pocket at the end.
- 14.6 The text of the thesis submitted for Masters by Research, MPhil, PhD and Professional Doctorate should normally not exceed the following length (excluding bibliography and any appendices):

<b>Award</b>	<b>Maximum Submitted Text Length (Word Count)</b>
	All subjects*
<b>PhD / Professional Doctorate</b>	100,000
<b>MPhil</b>	60,000
<b>Masters by Research</b>	40,000

\*Text length should be appropriate to the subject methodology and criteria of award

Where the submission is accompanied by material in other than written form or the research involves creative writing or the preparation of a scholarly edition, the written thesis should normally be no more than:

PhD	40,000 words
MPhil	20,000 words
Masters by Research	15,000 words

Submissions for the Award of MPhil or PhD by Portfolio and PhD by Publication:

Materials submitted for the award of MPhil or PhD by portfolio or PhD by publication shall be in a form approved by the Research Programmes Sub Committee at the time of the original registration. Normally these should demonstrate equivalence with the guidelines on word-length above.

The critical overview submitted along with materials for the PhD by portfolio and PhD by publication should not normally exceed 15,000 words. The critical overview submitted along with materials for the MPhil by portfolio should not normally exceed 10,000 words.

- 14.7 Following the award of the degree the candidate will supply one hardbound and one electronic copy of the thesis to the Secretary of the Research Programmes Sub Committee.

The Secretary of the Research Programmes Sub Committee shall:

- (a) Lodge one hardbound copy of the submission with the National Library of Wales;
- (b) Lodge one electronic copy of the submission with the University Library

The electronic copy of the submission must be identical to the final version of the printed copy and submitted as a single file.

The electronic copy of the submission will be made available online via the University's Research Repository.

- 14.8 Where the Research Programmes Sub Committee has agreed that the confidential nature of the candidate's work is such as to preclude the submission being made freely available in the library of the University, the National Library of Wales and Collaborating Establishment (if any), the submission shall, immediately on completion of the programme of work, be retained by the University on restricted access and, for a time not exceeding the approved period (see paragraph 14.9), shall only be made available to those who were directly involved in the project.

The Research Programmes Sub Committee shall normally only approve an application for confidentiality in order to enable a patent application to be lodged or to protect commercially or politically sensitive material. A submission shall not be restricted in this way in order to protect research leads. While the normal maximum period of confidentiality is **two years**, in exceptional circumstances the Research Programmes Sub Committee may approve a longer period. Where

a shorter period would be adequate the Research Programmes Sub Committee shall not automatically grant confidentiality for two years.

14.9 The copies of the submission presented for examination shall remain the property of the University but the copyright in the submission shall be vested in the candidate.

14.10 The following requirements shall be adhered to in the format of the thesis element of the submission and a candidate may follow either.

- (a) theses shall normally be in A4 format. The Research Programmes Sub Committee 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. A candidate using a format larger than A4 should note that the production of microfiche copies and full-size enlargements may not be feasible;
- b) copies of the thesis shall be presented in a permanent and legible form either in typescript or print; where copies are produced by photocopying processes, these shall be of a permanent nature; where word processor and printing devices are used, the printer shall be capable of producing text of a satisfactory quality; the size of character used in the main text, including displayed matter and notes, shall not be less than 2.0mm for capitals and 1.5mm for x-height (that is, the height of lower-case x).
- c) the thesis shall be printed on the recto side of the page only; the paper shall be white and within the range 70 g/m<sup>2</sup> to 100 g/m<sup>2</sup>;
- d) the margin at the left-hand binding edge of the page shall not be less than 40mm; other margins shall not be less than 15mm;
- e) double or one-and-a-half spacing shall be used in the typescript except for indented quotations or footnotes where single spacing may be used;
- f) pages shall be numbered consecutively through the main text including photographs and/or diagrams included as whole pages;
- g) the title page shall give the following information:
  - i the full title of the submission;
  - ii the full name of the author;
  - iii that the award is conferred by the University of South Wales/Prifysgol De Cymru;
  - iv the award for which the submission is presented in partial fulfilment of its requirements;
  - v the Collaborating Establishment(s), if any; and

vi the month and year of submission.

14.11 The University library copy shall be bound as follows:

- a) the binding shall be of a fixed type so that leaves cannot be removed or replaced; the front and rear boards shall have sufficient rigidity to support the weight of the work when standing upright; and
- b) in at least 24pt type the outside front board shall bear the title of the submission, the name and initials of the candidate, the qualification, and the year of submission; the same information (excluding the title of the submission) shall be shown on the spine of the work, reading downwards.

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 research programme was carried out  
in collaboration with the Engels' Historical Society

January 2019

## 15. Review of an examination decision

- 15.1 A candidate may in the circumstances set out below request a review of an examination decision, whether at the first examination or re-examination.
- 15.2 A request for a review may only be made following a decision of the Research Programmes Sub Committee on the recommendation of the examiners. Given the existence of procedures for complaint and grievance during the study period (see section 16), alleged inadequacy of supervisory or other arrangements during the period of study shall not constitute grounds for requesting a review of the examination decision.
- 15.3 A request for a review may only be made on the following grounds:
- a) that there were circumstances affecting the candidate's performance of which the examiners were not aware at the oral examination; and/or
  - b) that there is evidence of procedural irregularity in the conduct of the examination (including administrative error) of such a nature as to cause doubt as to whether the result might have been different had there not been such irregularity; and/or
  - c) that there is evidence of unfair or improper assessment on the part of one or more of the examiners; a candidate may not otherwise challenge the academic judgement of the examiners.
- 15.4 A candidate shall give notice, in a letter to the University Secretary, within **20 working days** from the date of notification of the result that she / he wishes to request a review and shall submit the case for review within a further **20 working days** from the date of giving notice.
- 15.5 The request for a review shall first be considered by the University Secretary who shall determine whether there is a prima facie case for a review. If it is considered that the request is clearly frivolous, vexatious or outside the permitted grounds, she / he shall discuss the request with the Chair and Secretary of the Research Programmes Sub Committee. If it is agreed that there is no prima facie case, the recommendation shall be submitted to the Chair of the Academic Board for decision. The Chair of the Academic Board may support the recommendation or require further investigation or action on the review. There shall be no appeal against the decision of the Chair of the Academic Board.
- 15.6 If it is considered that there is a prima facie case for a review the University Secretary shall gather such evidence as considered appropriate and likely to assist a panel in reviewing the case. This may include seeking written or oral testimony from the examiners, from other persons present at the oral

examination, from supervisors or other members of the academic staff, or further evidence or statements by way of elucidation from the candidate.

15.7 The request for a review shall be considered by a panel, constituted by the Research Committee, from persons having no previous involvement in the case. The panel will include:

- Chair of Research Committee or nominee from Executive with experience of research (panel chair)
- Two senior members of academic staff who are members of either Research Committee or a Faculty Research Programmes Committee\* and who have experience of examining and / or chairing research degrees
- Director of Research and Business Engagement or nominee (secretary to panel)

The Chair of the Research Programmes Sub Committee or nominee may be invited to advise on regulations or procedural matters but shall not be involved in the decision making process.

At the discretion of the panel the student may be invited to put his / her case forward in person and to answer any questions the panel may have. In such a case the student may be accompanied by a friend who may be present to support them.

No student or research degree candidate shall be a member of a research degree review panel.

15.8 Following consideration of the case the review panel shall recommend that the Research Programmes Sub Committee either:

- a) invite the examiners to reconsider their decision; or
- b) appoint new examiners; or
- c) confirm the original decision of the examiners.

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

15.9 A review panel shall not be constituted as an examination board and shall not have the authority to set aside the decision of the Research Programmes Sub Committee and thereby to recommend the award of the degree.

\* *The appointed panel member should not be a member of the FRPC in the faculty where the student is registered*



15.10 Where a candidate is dissatisfied with the outcome of the review and, following issue of a *Completion of Procedures* letter, the candidate may lodge a complaint with the Office of the Independent Adjudicator (OIA). Details of the OIA and the relevant information in relation to the scheme can be accessed at [www.oiahe.org.uk](http://www.oiahe.org.uk). Further information and advice can be obtained from the University Secretary's Office.

## Chapter 16 – Complaints

- 16.1 A student may raise any complaint informally with their Director of Studies, Dean of Faculty, or with the Chair or Secretary of RPSC / FRPC. In most cases it should be possible to resolve the issue amicably in this way without recourse to the formal complaints procedure.
- 16.2 Where a complaint is so serious that it makes it inappropriate to deal with informally or where the informal procedure has not proved satisfactory, a student may make a formal complaint.

For information regarding the formal complaints procedure, please refer to: <http://uso.southwales.ac.uk/StudentCasework/SCP/>

- 16.3 Any student complaint must be lodged before the final thesis examination and cannot constitute grounds for appeal against the outcome of an examination.

**Please note:** The Student Complaints Procedure does not cover the following, for which separate procedures exist: Complaints involving an allegation of misconduct by a student, an allegation of harassment by a student or member of staff, an allegation of misconduct by a member of staff.

# Annex 1: List of the University's research forms

- R1 - Application to register for a research award of the University
- R5 - Application for changes in registration details, including extension of registration period, suspension of registration period, change in arrangements for supervision and notification of withdrawal
- R6 - Application for transfer of registration from Master of Philosophy to Doctor of Philosophy or Research Diploma to Master of Philosophy
- R7 - Application for the appointment of examiners
- R8 - Preliminary report and recommendation of an examiner on a candidate for the degree of Doctor of Philosophy/Professional Doctorate/Master of Philosophy/Masters by Research
- R9 - Recommendation of the examiners on a candidate for the degree of Doctor of Philosophy/Professional Doctorate/Master of Philosophy/Masters by Research
- R10 - Signing off Thesis Form
- R11 - Certificate of Research
- Decl - Candidate's declaration form

Thesis Deposit Agreement for LRC

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<http://gro.southwales.ac.uk/forms/>

January 2018