

# ACADEMIC REGULATIONS FOR POSTGRADUATE RESEARCH AWARDS

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The Academic Regulations for Postgraduate Research Awards provides the framework and criteria for the assessment, examination and awarding of a university research award.	

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## Preface

The Academic Regulations for Postgraduate Research Awards should be read in conjunction with the *Postgraduate Research Student's and Supervisor's Handbook* [<http://www2.gre.ac.uk/current-students/postgrad-research/further-info>], which sets out the expectations and procedures in relation to the admission, training, supervision, support and progress of research students.

The application of the Academic Regulations for Research Awards is underpinned by University policies and procedures, to which reference is made at appropriate points within the Regulations. The University's Postgraduate Research website [<http://www2.gre.ac.uk/current-students/postgrad-research>] provides access to the University's comprehensive range of support services and development opportunities as well as guidance and forms to support the Postgraduate Research journey.

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## A. INTRODUCTION

### A1 Scope and Purpose

- A1.1 The role of the regulations is to maintain the quality and academic standards of the University's research degree programmes and to provide clear guidance for students and staff.
- A1.2 In keeping with its designation as an autonomous degree awarding body the University requires a comprehensive, consistent and coherent framework of academic regulations, procedures and working practices in order to enable the assurance of academic standards and the consistent and equitable treatment of all its students wherever they are located. The *Academic Regulations for Postgraduate Awards* (hereafter known as the *Regulations*) set out the University's minimum requirements for:
- (i) the management of research degree programmes;
  - (ii) the mechanisms for assuring the academic standards of the University's research degrees;
- A1.3 The Research and Enterprise Committee is responsible for approving all amendments, additions and variants to the *Regulations* prior to their formal ratification by Academic Council.
- A1.4 The *Regulations* encompass all of the University's academic provision contributing to postgraduate research awards (with the exception of the Masters by Research Award).
- A1.5 Professional doctorate programmes, comprising a taught element followed by a research element, are governed by the *Academic Regulations for Taught Awards* for the taught element and the *Academic Regulations for Postgraduate Research Awards* for the research element.
- A1.6 The *Regulations* are reviewed annually by the Academic Registry and updated to reflect any changes that may have been approved by the Research and Enterprise Committee during the previous year. Updated *Regulations* are published annually during the first full working week of September on the Student & Academic Services website together with a clear statement about changes that have been made since the previous publication.

## B. ACADEMIC FRAMEWORK

### B1 Qualification Descriptors

- B1.1 As referred to in the QAA *Characteristics Statement, Master's Degree (February 2020)*, students for the award of Master of Philosophy are expected to meet the Level 7 (Master's Degrees) descriptors for such awards set out in the *UK Quality Code for Higher Education, Part A: Setting and Maintaining Academic Standards – The Frameworks for Higher Education Qualifications of UK Degree-Awarding Bodies, QAA (October 2014)*.
- B1.2 As referred to in the QAA *Characteristics Statement, Doctoral Degree (February 2020)*, students for the award of the Doctoral level awards of Doctor of Philosophy (PhD) and of Doctorate in Education (EdD) are expected to meet the Level 8 (Doctoral) descriptors for such awards set out in the *UK Quality Code for Higher Education, Part A: Setting and Maintaining Academic Standards – The Frameworks for Higher Education Qualifications of UK Degree-Awarding Bodies, QAA (October 2014)*.

**Quality Assurance Agency (QAA) Masters (Level 7) and Doctoral (Level 8) Qualification Descriptors:**

HE qualifications as set out in the FHEQ	FHEQ level and definition		Minimum credits
PhD/DPhil	8	Doctoral degrees are awarded to students who have demonstrated: <ul style="list-style-type: none"> <li>• 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</li> <li>• a systematic acquisition and understanding of a substantial body of knowledge which is at the forefront of an academic discipline or area of professional practice</li> <li>• the general ability to conceptualise, design and implement a project for the generation of new knowledge, applications or understanding at the forefront of the discipline, and to adjust the project design in the light of unforeseen problems</li> <li>• a detailed understanding of applicable techniques for research and advanced academic enquiry.</li> </ul>	Not typically credit-rated
Professional doctorates			540
Research master's degrees	7	Master's degrees are awarded to students who have demonstrated: <ul style="list-style-type: none"> <li>• a systematic understanding of knowledge, and a critical awareness of current problems and/or new insights, much of which is at, or informed by, the forefront of their academic discipline, field of study or area of professional practice</li> <li>• a comprehensive understanding of techniques applicable to their own research or advanced scholarship</li> <li>• originality in the application of knowledge, together with a practical understanding of how established techniques of research and enquiry are used to create and interpret knowledge in the discipline</li> <li>• conceptual understanding that enables the student:               <ul style="list-style-type: none"> <li>- to evaluate critically current research and advanced scholarship in the discipline</li> <li>- to evaluate methodologies and develop critiques of them and, where appropriate, to propose new hypotheses.</li> </ul> </li> </ul>	180

B1.3 Higher doctorates do not feature as part of the Quality Assurance Agency (QAA) document *The Frameworks for Higher Education Qualifications of UK Degree-Awarding Bodies (2014)*. There is therefore no commonly accepted UK based framework relating to the content, assessment and award of such degrees.

**B2 Awards**

B2.1 Master of Philosophy (MPhil):

awarded to a student who meets the Level 7 descriptor set out in section B1 of the regulations, which may be summarised as having critically investigated and evaluated an approved topic, demonstrated an understanding of research methods applied to a chosen field, and has presented and defended a written thesis by oral examination (*viva voce*) to the satisfaction of approved examiners.

## B2.2 Doctor of Philosophy (PhD):

awarded to a student who meets the Level 8 descriptor set out in section B1 of these regulations, which may be summarised as having critically investigated and evaluated an approved topic, including demonstrating an understanding of research methods as applied to a chosen field, resulting in an independent and original contribution to knowledge, and has presented and defended a written thesis by oral examination (*viva voce*) to the satisfaction of approved examiners

## B2.3 Professional Doctorates (EdD):

Awarded to a student who has accrued 540 Level 8 academic credits comprising:

- (i) A taught phase (180 Level 8 credits) - this phase will comprise of no less than 50% of academic credits at Level 8, as relevant to the Doctoral descriptor set out in section B1 of these regulations, and;
- (ii) A research phase (360 Level 8 credits) – this phase requires the successful completion of a research project that meets the Level 8 Doctoral descriptor set out in section B1 of these regulations, the topic of which may be selected from any area within the general field of the approved doctorate programme, consistent with the professional context of the student.

## B2.4 Higher Doctorates:

Awarded to a student on the basis of submission by the student of a body of published work which, in the opinion of the assessors, constitutes an original, significant and sustained contribution to the advancement and/or application of knowledge, over a sustained period of time, which establishes the student as a leading authority in the field of study concerned. Current higher doctorates recognised by the University are:

- Doctor of Science (DSc)
- Doctor of Technology (DTech)
- Doctor of Letters (DLitt)
- Doctor of Law (LLD)

Other titles may be awarded to recognise equivalent endeavour in other disciplines.

## **B3 Dual Awards, Joint Awards and Collaborations with Other Higher Education Providers**

B3.1 Dual Awards involve the granting of separate awards for successful completion of an agreed programme of study by the University and one or more formally recognised higher education providers. Further information on such arrangements are set out in Appendix 1 of this document.

B3.2 Joint Awards involve the granting of a single award for successful completion of one programme of study offered with other formally recognised higher education providers. Further information on such arrangements are set out in Appendix 1 of this document.

B3.3 The University may enter into a formal collaboration with other formally recognised higher education providers that do not possess research degree awarding powers for the purpose of furthering the postgraduate research endeavour. Under such collaborations, the regulations set out in this document will be applied. Further information on such arrangements are set out in Appendix 1 of this document.

## **C. ADMISSION OF STUDENTS**

### **C1 General Principles**

- C1.1 The University's admissions policies and practices assist in meeting the strategic aims of the University and enhancing its position as a leading higher education institution.
- C1.2 The University is committed to operating admissions procedures that are fair, transparent and consistent. The University strives to admit only suitably qualified applicants who have the ability to complete their programme of study successfully.
- C1.3 With the exception of the Doctorate by Published Work, Higher Doctorate and transfer from the Masters by Research, admission requirements for postgraduate research programmes are detailed on the university's website <http://www2.gre.ac.uk/research/study/apply>.

### **C2 Doctorate by Published Work**

- C2.1 The PhD by published work is only open to current contracted members of staff of the University and those who hold a formal honorary position in connection with the University.
- C2.2 Applicants must normally meet the standard entry requirements for registration to MPhil/PhD as detailed on the university's website <http://www2.gre.ac.uk/research/study/apply>.
- C2.3 Appropriate expertise in the field concerned must exist within the University so that suitable and experienced supervision may be provided to the applicant.
- C2.4 Applicants must request to be considered for entry to the PhD by Published Work route in writing to the Chair of the relevant Faculty Research Degrees Committee (FRDC). Initial Applications must be supported by written consent from the applicant's Head of Department.
- C2.5 Applicants must also provide evidence of their published work in a format that will demonstrate its breadth and depth. The evidence must:
- a) Demonstrate that there is a suitable body of material to be submitted
  - b) Indicate how a case will be made for the independent, original and coherent nature of the submission
  - c) Indicate how the contribution of the applicant will be measured in the case of multiple authorship of cited published work
  - d) Be no longer than 3000 words
- C2.6 Unpublished work cannot be used to support an application to the Doctorate by Published Work.
- C2.7 The Chair of the FRDC will appoint a suitably qualified internal reviewer to assess the application request and determine whether the application is likely to equate broadly to the doctoral standard normally exemplified in a written PhD thesis.
- C2.8 Where it has not been possible to identify an appropriate independent reviewer within the university, the Chair of the FRDC may appoint a suitably experienced external academic to provide the required initial assessment.
- C2.9 Based on the reviewer's findings, the FRDC will determine whether the application has suitable merit. The FRDC will decide that either:

- a) The application does not have merit and cannot proceed; or
- b) The application has sufficient merit to proceed and that a supervisor is provisionally appointed.

C2.10 In the case of (b) above, the applicant, in consultation with the appointed supervisor, must submit Form [RDA1aPW](#) to the Faculty Research Degrees Committee to seek approval of the research programme and the work to be submitted for assessment.

C2.11 Following approval by FRDC, the applicant may commence the University's formal admission procedure.

### **C3 Higher Doctorates**

C3.1 The route to the award of a higher doctorate set out in this document is open to current contracted members of staff of the university and those who hold a formal honorary position in connection with the university.

C3.2 Both categories of applicant in C3.1 should be holders of a doctoral degree for at least five years from a recognised higher education institution.

C3.3 An applicant must submit four copies of the work on which the application for the formal submission will be considered. The submission should normally consist of published materials which may take the form of:

- books
- monographs
- peer-reviewed journal papers
- peer-reviewed conference papers
- other relevant papers, specifications or design studies
- other formats of original work that support the thrust of the application

All material, other than books and/or other forms of non-paper-based formats, should be bound and contain the applicant's name, a title and contents page. An application including non-paper based material should include a written explanation of/context to the relevance or significance of such material to the application.

C3.4 The application must be accompanied by a statement of not more than 5000 words setting out the applicant's view on the trajectory of the nature of the evidence submitted and its significance in terms of impact, from either a national or international perspective, as relevant to the discipline under consideration, to the Secretary of the Faculty Research Degrees Committee (FRDC).

C3.5 The contents of the submission should be in English, and any material included which is in a language other than English must include an English translation.

C3.6 Any book or paper submitted in support of the application for the degree must have been published for at least one year at the time of application.

C3.7 An applicant must state which part of the submission, if any, has been submitted for a previous academic award.

C3.8 Where an applicant submits work published jointly with other authors, they will submit a separate declaration explaining, in percentage terms, the extent of their contribution to that work, along with confirmation from each co-author to this effect. The FRDC reserves the right to verify the claims made by an applicant in the case of all multi-authored works with any of the other cited authors.

C3.9 On receipt of the material submitted, the Secretary of the FRDC will convene a Higher Doctorate Panel comprising of the:

- Deputy Vice-Chancellor (Research and Enterprise) - Chair
- Faculty Director of Research
- Chair of the Faculty Research Degrees Committee

At this stage the purpose of the panel is to establish whether the application has suitable merit. This stage of the process may also incorporate the involvement of an invited expert in the field to advise the panel on the merits of the application.

C3.10 Based on the report from the Panel, the FRDC will confirm either:

- a) The application does not have merit and cannot proceed; or
- b) The application has sufficient merit to proceed

C3.11 Following approval by FRDC, the applicant may commence the University's formal admission procedure.

#### **C4 Transfer from Masters by Research to MPhil/PhD or PhD**

C4.1 A student may request to transfer their programme of study from a Masters by Research to an MPhil/PhD or PhD by submitting an application to the Faculty Research Degrees Committee for consideration using the approved procedure in the handbook.

C4.2 Requests to transfer direct to PhD will only be considered by the Faculty Research Degrees Committee on an exceptional basis.

C4.3 Students cannot submit an application to transfer until they have been on the Masters by Research programme for a minimum of 6 months full-time or 12 months part-time.

C4.4 To transfer from a Masters by Research programme to an MPhil/PhD or PhD a student must satisfy the Faculty Research Degrees Committee that:

- (i) The work completed to date is of a Masters standard.
- (ii) There is evidence of the potential for an original contribution to knowledge to be developed from future work.

C4.5 Students requesting to transfer directly to a PhD will be required to undertake an oral examination conducted by independent internal assessors approved by the Faculty Research Degrees Committee. The assessment team will consist of:

- (i) one member of academic staff from the host Faculty, and
- (ii) another from the same Faculty, or from another Faculty within the University

No person external to the University is permitted to act as an Assessor, unless there are exceptional reasons for the Faculty Research Degrees Committee to consider such a proposal.

C4.4 In support of the transfer application, students must submit a supplementary progress report in accordance with the requirements detailed in the Handbook [<http://www2.gre.ac.uk/current-students/postgrad-research/further-info>].

C4.5 Approval to undertake the oral examination remains valid for a period of three months from the date of approval by the Committee and the oral examination should take place within this time.

- C4.6 Supervisors may attend the oral examination with the consent of the student and the assessors. The supervisor(s) does not have the right to participate in the examination of the student and is required to withdraw prior to the deliberations of the assessors on the outcome of the examination.
- C4.7 Assessors may advise their provisional recommendation on the outcome of the oral examination to the student following their deliberations. The final decision to approve the transfer rests with the Faculty Research Degrees Committee.
- C4.8 On completion of the oral examination the assessors will recommend one of the following outcomes to the Faculty Research Degrees Committee:
- (i) The student is considered suitable to transfer to PhD with immediate effect.
  - (ii) The student is not suitable for transfer to PhD but may continue on the Masters by Research programme.
- C4.9 The Faculty Research Degrees Committee will consider the recommendation of the Assessors and:
- (i) Endorse the recommendation; or
  - (ii) Reject the recommendation and approve an alternate outcome
- C4.10 Students are only permitted one attempt at transferring registration from Masters by Research to PhD. If a student fails to gain approval by the Faculty Research Degrees Committee following the first attempt, their registration, and subsequent submission for final award, will remain at Masters by Research.
- C4.11 Students whose transfer request is successful will be required to complete the MPhil/PhD or PhD programme in accordance with the permitted periods of registration in section D2, minus the period of registration already undertaken on the Master by Research programme.
- C4.11 Students whose transfer request is unsuccessful will have no further opportunity to request a transfer to PhD and will be required to submit their project for a Masters by Research degree within the remaining period on the programme, plus the period taken to undertake the oral assessment.

## **D. REGISTRATION, CONTRACTUAL OBLIGATIONS AND ENGAGEMENT**

### **D1 Registration**

- D1.1 An applicant who accepts an offer must register as a research student with the University on the starting date set out in the offer letter, or as soon as possible after this date.
- D1.2 It is the student's responsibility to re-register on-line as a research student with the University at the start of each academic year. Failure to re-register with the university in the September of the academic year will result in the student being automatically withdrawn by the University from their programme of study.
- D1.3 A request to be reinstated where a student has been withdrawn for failing to re-register will only be considered if the request is received within 2 years from the date the student was notified of the withdrawal. Reinstatement on the programme is at the discretion of the university.

D1.4 The date the student officially commences their registration with the University will be the reference date to determine all relevant matters relating to the University's processes and procedures as they relate to the student.

D1.5 A student may register on a full-time or a part-time basis.

D1.6 Students may transfer from full-time to part-time mode of study or vice versa. The time available for the formal submission of the thesis under the new mode of study will be calculated using the formula available in the *Postgraduate Research Students' and Supervisors' Handbook*.

## D2 Permitted Periods of Registration

D2.1 The normal minimum and maximum periods of registration with the University associated with the award of PhD (except PhD by Published Work) are set out below:

- (i) For those research students who registered with the university before February 2017, the normal minimum and maximum periods of registration for the completion\* of the awards of MPhil and PhD are as follows:

	Minimum	Maximum
<b>MPhil</b>		
Full-time	18 months	36 months
Part-time	30 months	48 months

<b>PhD (via transfer from MPhil registration, including period of MPhil registration)</b>		
Full-time	36 months	60 months
Part-time	48 months	72 months

<b>PhD (by direct registration)</b>		
Full-time	24 months	36 months
Part-time	36 months	60 months

<b>Professional Doctorates (EdD)</b>		
Part-time	36 months	72 months

- (ii) For those research students who registered with the University from February 2017, the normal minimum and maximum periods of registration for the completion\* of the awards of MPhil and PhD are as follows:

	Minimum	Maximum
<b>MPhil</b>		
Full-time	18 months	36 months
Part-time	30 months	48 months

<b>PhD (via transfer from MPhil registration, including period of MPhil registration)</b>		
Full-time	36 months	48 months
Part-time	48 months	84 months

<b>PhD (by direct registration)</b>		
Full-time	24 months	48 months
Part-time	36 months	84 months

<b>Professional Doctorates (EdD)</b>		
Part-time	36 months	72 months

*\*For students where the examiners recommend them for the award they are examined for, completion refers to the date the thesis was submitted for examination. For students where the examiners recommend they re-submit their thesis for a further examination, completion refers to the date the thesis was re-submitted for examination.*

- D2.2 The maximum period of registration on the PhD by Published Work route is 12 months.
- D2.3 With the exception of D2.4, the period of registration commences from the date the student officially commences their registration as a postgraduate research student of the University.
- D2.4 Where registration with the University is by transfer of an existing registration from an approved existing programme of postgraduate research at another HEI, the period of registration will start from the date of the original registration of the research programme at the previous HEI, less any authenticated period of inactivity resulting from such a transfer.
- D2.5 Where a student's registration reverts to MPhil from MPhil/PhD or PhD, the maximum permitted period of registration for an MPhil award will apply. Where the student transferring has already exceeded the maximum permitted period of registration for an MPhil award, the Faculty Research Degrees Committee may approve an extension to registration, which should not exceed 6 months, unless exceptional circumstances apply.
- D2.6 In exceptional circumstances the Faculty Research Degrees Committee may consider reducing the minimum period of registration where there is evidence a student is progressing exceptionally well with their studies.
- D2.7 In exceptional circumstances the Faculty Research Degrees Committee may consider extending the maximum period of registration for periods of no longer than 6 months at a time and normally only two such extensions will be considered.
- D2.8 Students may request an interruption of study by following the procedure in the *Postgraduate Research Student's and Supervisor's Handbook*. The permitted period of registration will be suspended whilst the student has formally interrupted their study, up to the maximum permitted period of interruption.
- D2.9 Interruptions will not normally be approved for more than 12 months at a time. The maximum period of interruption will not normally be permitted to exceed 24 months in total.
- D2.10 Where a former student has previously chosen to withdraw from their programme of studies, they may apply to re-join the programme within a period of two years. Return would be at the discretion of the university.
- D2.11 Former students may not normally return to a programme of study if they were discontinued from their studies due to lack of academic progress.

- D2.12 Returning students would be required to re-join the programme in the same year of study they were in at the point they left.
- D2.13 Returning students will be required to complete the programme within the maximum permitted registration period, minus any previously registered time on the programme.
- D2.14 Professional doctorate students permitted to re-join the programme will be required to return any previous certificates awarded by the university before a higher award is made.

### **D3 Contractual Obligations**

- D3.1 In registering as a student of the University and consenting to the Principle Conditions of Registration, all students are required to confirm that they accept the Rules, Regulations, Codes and Procedures of the University [<http://www2.gre.ac.uk/current-students/regs>].
- D3.2 Students are expected to adhere to all relevant research student focused practices and policies in force at the University.
- D3.3 Attendance at all induction and orientation sessions is required by all registered research students, irrespective of prior qualifications and route of entry, and whether they have previously been a student at the University.
- D3.4 A research student who has been admitted to the University by transfer of an existing MPhil or PhD registration from another HEI is also required to make an application to register their research programme with the relevant Faculty Research Degrees Committee in accordance with the requirements in E1 below.
- D3.5 Under the umbrella of the University's *Postgraduate Researcher Development Programme (PGRDP)* [<http://www2.gre.ac.uk/current-students/postgrad-research/training/postgraduate-researcher-development-programme>], the student will follow a parallel programme of non-credit bearing related studies for the attainment of competence in research methods, of transferable and generic skills, and knowledge related to the subject of the proposed research.
- D3.6 D3.3, D3.4 and D3.5 do not apply to students registered for a Doctor of Philosophy by Published Work or a Higher Doctorate.

### **D4 Engagement**

- D4.1 Full-time students are expected to devote at least 35 hours per week to their research degree.
- D4.2 Part-time students registering from September 2018 should normally spend the equivalent of 16 hours per week on their research degree. Part-time students who registered prior to September 2018 are expected to spend 12 hours per week on their research degree.
- D4.3 It is the student's responsibility to keep in regular contact with their supervisors for the purpose of providing information on progress with their research programme and related matters, including training.
- D4.4 Where a student has failed to keep in contact with their supervisor(s), the student may be withdrawn from their programme of study in accordance with the agreed procedure in the University's [Attendance and Engagement Policy](#).

## E. PROGRESS AND PROGRESSION

### E1 General Principles

The General Principles in this section do not apply to students registered on the Doctorate by Published Work or Higher Doctorate – see Programme Specific Requirements for further details

- E1.1 A registered full-time research student is required to submit [RDA Form 1a-c](#) to the Faculty Research Degrees Committee to seek approval of the proposed plan of research, supervisory arrangements and other related matters within 2 months of completing registration.
- E1.2 A registered part-time research student is required to submit [RDA Form 1a-c](#) to the Faculty Research Degrees Committee to seek approval of the proposed plan of research, supervisory arrangements and other related matters within 4 months of completing registration<sup>1</sup>.
- E1.3 Failure to secure approval within 6 months of registration for full time students and 12 months of registration for part time students will result in termination of the student's registration.
- E1.4 Where deemed necessary, the Faculty Research Degrees Committee may refer an approved research proposal to the University's Research Ethics Committee (uREC) for consideration.
- E1.5 Within twelve months of registration with the University<sup>2</sup> and every subsequent 12 month period, students must submit an annual progress report using the approved procedure detailed in the handbook [<http://www2.gre.ac.uk/current-students/postgrad-research/further-info>].
- E1.6 If an annual progress report is not received within a maximum of 2 months after the 12 month period has lapsed, the relevant Faculty Research Degrees Committee may withdraw the student from their programme of study using the approved procedure detailed in the handbook [<http://www2.gre.ac.uk/current-students/postgrad-research/further-info>].
- E1.7 Where an annual progress report has been submitted and satisfactory progress is not achieved, the relevant Faculty Research Degrees Committee may withdraw the student from their programme of study using the approved procedure detailed in the handbook [<http://www2.gre.ac.uk/current-students/postgrad-research/further-info>].
- E1.8 Supervisors may at any time submit a progress report to the Faculty Research Degrees Committee, or the Committee may request such a report, before the next review period is due where either consider a lack of progress to be of concern.
- E1.9 A student may at any time submit a progress report to the Faculty Research Degrees Committee, before the next review period is due where they consider there is a significant issue beyond their control which is impacting on their progress.
- E1.10 Amendments to the approved arrangements for a research degree programme may only be made with the approval of the relevant Faculty Research Degrees Committee.

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<sup>1</sup> For students registered on a Professional Doctorate (EdD), the 4 month period will commence from the date at which progression to the research phase is approved.

<sup>2</sup> For students registered on a Professional Doctorate (EdD), the 12 month period will commence from the date at which progression to the research phase is approved.

E1.11 The regulations relating to examination arrangements and procedures are set out in Section F.

## **PROGRAMME SPECIFIC REQUIREMENTS**

### **E2 Master of Philosophy (MPhil) to Doctor of Philosophy (PhD)**

In addition to the Regulations listed below, the General Principles in section E1 also apply

#### *Transfer of registration from MPhil to PhD*

- E2.1 Appropriately registered students who wish to transfer registration from MPhil/PhD to PhD may apply to the Faculty Research Degrees Committee using Form RDA2. Applications must be made following consultation with their supervisor when it is considered that sufficient progress has been made on the agreed programme of research to provide evidence of the development of the research to a level commensurate with Doctoral study (Level 8).
- E2.2 It is expected the transfer stage will be reached not later than 24 months from the date registration commenced for a research student studying on a full-time basis, and no later than 48 months for a student studying on a part time basis.
- E2.3 The student is required to undertake an oral examination conducted by independent internal assessors approved by the Faculty Research Degrees Committee. The assessment team will consist of:
- (i) one member of academic staff from the host Faculty, and
  - (ii) another from the same Faculty, or from another Faculty within the University
- No person external to the University is permitted to act as an Assessor, unless there are exceptional reasons for the Faculty Research Degrees Committee to consider such a proposal.
- E2.4 In support of the transfer application, students must submit a supplementary progress report in accordance with the requirements detailed in the Handbook [<http://www2.gre.ac.uk/current-students/postgrad-research/further-info>].
- E2.5 Approval to undertake the oral examination remains valid for a period of three months from the date of approval by the Committee and the oral examination should take place within this time.
- E2.6 Supervisors may attend the oral examination with the consent of the student and the assessors. The supervisor(s) does not have the right to participate in the examination of the student and is required to withdraw prior to the deliberations of the assessors on the outcome of the examination.
- E2.7 Assessors may advise their provisional recommendation on the outcome of the oral examination to the student following their deliberations. The final decision to approve the transfer rests with the Faculty Research Degrees Committee.
- E2.8 On completion of the oral examination the assessors will recommend one of the following outcomes to the Faculty Research Degrees Committee:
- (i) The student is considered suitable to transfer with immediate effect.

- (ii) The student is not currently demonstrating the potential to transfer but may submit a new application within 6 months that displays progression in regards to the assessors written comments. No further oral examination will be required.
- (iii) The student is not currently demonstrating the potential to transfer but may submit a new application within 6 months that displays progression in regards to the assessors written comments. A further oral examination will be undertaken.
- (iv) The student is not suitable for transfer to PhD but may continue on the MPhil.

E2.9 Where there is disagreement between the two internal assessors over the readiness of the student to transfer to PhD, the FRDC may appoint an additional internal assessor. The majority view will prevail in determining the student's progression to PhD.

E2.10 Where an additional assessor is appointed, they must provide an independent written report on the student's progress report and the assessors reports. A further oral examination may also be conducted.

E2.11 The Faculty Research Degrees Committee will consider the recommendation of the Assessors and:

- (i) Endorse the recommendation; or
- (ii) Reject the recommendation and approve an alternate outcome

E2.12 Students are permitted a maximum of two attempts at transferring registration from MPhil to PhD. If a student fails to gain approval by the Faculty Research Degrees Committee following a second attempt, their registration, and subsequent submission for final award, will remain at MPhil.

E2.13 A student may appeal the decision to remain at MPhil in accordance with the grounds for appeal stated in the *Academic Appeals Procedure (Research Awards)* [<http://www2.gre.ac.uk/current-students/regs>].

### **E3 Doctor of Philosophy (PhD) Direct**

E3.1 Students registered for the PhD Direct may request to transfer their registration to MPhil. The permitted period of registration will be adjusted in accordance with Section D2.5.

### **E4 Doctorate by Published Work (PhD)**

E4.1 Students will have no more than twelve months from the time of their official registration with the University to prepare and submit their work in line with the information given in section E1 General Principles.

### **E5 Professional Doctorates (EdD)**

In addition to the Regulations listed below, the General Principles in section E1 apply to the research phase of the Professional Doctorate

E5.1 During the taught phase student progression and assessment is managed in accordance with the *Academic Regulations for Taught Awards*.

E5.2 During the research phase student progression and assessment is managed in accordance with the *Academic Regulations for Postgraduate Research Awards*.

### *Student progression in taught phase*

- E5.3 Professional Doctorate students are expected to progress through the programme in accordance with the processes and procedures set out in the relevant programme handbook.
- E5.4 Students must successfully complete the taught phase of the programme before being considered for progression to the research phase of the award.
- E5.5 Progression to the research phase will be determined by the Programme Leader in accordance with the procedure detailed in the *Professional Doctorate in Education (EdD) Student Programme Handbook*.

### *Approval of proposed programme of research*

- E5.6 On approval of progression from the taught phase to the research phase, the student is required, within four months of being approved to progress, to submit completed [Form RDA1 PD](#) to the Faculty Research Degrees Committee to seek approval of the proposed plan of research, supervisory arrangements and other related matters by the Committee.
- E5.7 The topic of the research phase may be selected from any area within the general field of the approved doctorate programme, consistent with the professional context of the student.
- E5.8 Students who successfully complete the taught phase
- (i) but do not progress to the research phase, or
  - (ii) progress to the research phase but do not submit their thesis for examination,
- may be awarded the appropriate exit award relevant to the programme on the basis of sufficient academic credits accrued during the taught phase.

### *Student progression in research phase*

- E5.9 Progress and assessment in the research phase will be in accordance with the regulations for the Doctor of Philosophy (PhD) – see section E1.

## **F. EXAMINATION AND ASSESSMENT**

### **F1 Master of Philosophy (MPhil), Doctor of Philosophy (PhD), Doctorate by Published Work (PhD) and Professional Doctorates (EdD)**

#### **F1.1 General Principles**

- F1.1 The examination for awards of the Master of Philosophy (MPhil), Doctor of Philosophy (PhD), including the Published Work route, and research phase of the Doctorate of Education (EdD) programme will have two stages:
- the submission and preliminary, independent assessment of the thesis by at least two approved, independent examiners, and
  - defence of the thesis by the student at an oral examination (*viva-voce*) or other approved form of alternative examination conducted by the examiners.

## **F1.2 Request for Final Examination**

- F1.2.1 Proposals seeking approval of examination arrangements should be submitted on [Form RDA6a/b](#) with the appropriate documentation to the Faculty Research Degrees Committee.
- F1.2.2 Approved examination arrangements remain valid for a period of three months from the date of approval by the Committee and the examination should occur within this time.
- F1.2.3 If the examination is not able to be undertaken within the three month time limit, the supervisor(s) must apply for a three month extension by:
- a) Where there are no changes to the original proposal, making a written request to the Committee to extend the existing approval of the examination arrangements or;
  - b) Where changes are required to the information contained within the original proposal, a new Form RDA6a/b must be submitted.
- Only one such extension may be made.
- F1.2.4 Once the application for examination arrangements has been approved, the student and supervisors are not permitted to initiate contact with any member of the Examination Panel at any time during the examination process, from approval of the arrangements through to the time of their oral examination.
- F1.2.5 No aspect of the student's submission may include material that has formed part of the process for the student being granted a previous academic award.
- F1.2.6 Where a student submits work published jointly with other authors, a separate declaration must be included clearly demonstrating the extent of their contribution to such work, along with an indication of confirmation from each co-author to this effect.
- F1.2.7 The decision to submit a thesis for examination rests with the student, subject to the Faculty in which the student is registered confirming that the student has completed the programme of study.

## **F1.3 Oral Examination**

- F1.3.1 A student will 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 Faculty Research Degrees Committee is satisfied that a student would be under serious disadvantage if required to undergo a conventional oral examination, an alternative form of examination may be approved. Such approval will not be given on the grounds that the student's knowledge of and ability in spoken English is inadequate.
- F1.3.2 The oral examination will be held at the University and will be conducted on a face-to-face basis, and not by electronic means, unless exceptional approval for it to be held elsewhere, or in another format, is obtained from the Faculty Research Degrees Committee.
- F1.3.3 The student must attend the oral or other approved form of examination on the agreed date. If circumstances arise which prevent the student from attending their oral examination, they must provide a valid reason supported by documentary evidence.

If the student is able to provide a substantiated valid reason for their unavailability/absence, permission may be given to reschedule the oral examination. If the student is unable to provide a substantiated valid reason, this may result in them being withdrawn from the University with no further opportunity to complete the oral examination.

#### **F1.4 Examination Panels**

- F1.4.1 Membership of an approved Examination Panel will normally be:
- Chair
  - One internal examiner
  - One external examiner
- F1.4.2 A student will be examined by no less than two examiners, one of which must be an external examiner. Where the case for another examiner is justified, this must not be an additional internal examiner.
- F1.4.3 Where no suitable internal examiner is available, two external examiners may be appointed.
- F1.4.4 Where the student is a member of staff of the University, a second external examiner will be appointed in place of an internal examiner.
- F1.4.5 If the student was a member of staff at the University at the time of initial registration with the Faculty Research Degrees Committee but subsequently leaves its employment, they will be treated as a member of staff for the duration of their studies.
- F1.4.6 Where the Panel contains two external examiners, neither view takes precedence over the other.
- F1.4.7 No student for a research degree of the University will act as an examiner for a research degree in a related discipline, either as an internal examiner at the University or as an external examiner at another institution.
- F1.4.8 The role of the Chair is not that of an examiner. The Chair will:
- a) Where possible be a permanent senior member of academic staff of the University who has experience of examining at least three examinations and/or successful completions at the Doctoral level and;
  - b) Be independent from the two examiners and;
  - c) Be independent from the programme of work forming the basis of the subject matter under examination and;
  - d) Not have acted as an Assessor at the student's transfer assessment
- F1.4.9 Examiners will be experienced in research in the general area of the student's thesis and, where practicable, have experience as a specialist in the topic(s) to be examined as demonstrated by evidence of their recent published work.
- F1.4.10 The internal examiner will:
- (i) not be a member of the student's supervisory team or any other person closely involved with the student's work
  - (ii) normally be an appropriately qualified contracted member of academic staff of the University
  - (iii) not be a registered postgraduate research student of the University or any other Higher Education Institution

- (iv) not normally have acted in the capacity of a transfer Assessor for the student

F1.4.11 The external examiner will:

- (i) be independent both of the University and of the collaborating establishment
- (ii) not have acted previously as the student's supervisor or adviser
- (iii) not be, or have been within the previous three years, either a supervisor of another student or been an external examiner on a taught course in the same Department/Faculty at the university
- (iv) not have been employed by the University within the previous three years
- (v) be able to demonstrate an understanding of examining at PhD level in the United Kingdom, or in a country that operates a PhD examination system similar to that of the United Kingdom

## **F1.5 Examination Process**

### *Initial consideration of thesis*

F1.5.1 Each examiner shall provide an independent preliminary written report on the thesis.

F1.5.2 Where the examiners are of the view that the thesis submission does not meet the required standard to proceed to the oral examination, the examination process will not continue.

F1.5.3 Where the examination process does not proceed to the oral examination, the submission will be considered a resubmission. The student will have only one further opportunity to resubmit in accordance with section F1.7 *Resubmission and Re-Examination*.

F1.5.4 Where examiners disagree in their initial findings, the view of the external examiner shall take precedent.

F1.5.5 Where two external examiners are employed and there is a disagreement over the readiness of the thesis for examination, FRDC may appointment an additional external examiner. The majority view will prevail in determining the student's progression to oral examination.

### *Oral Examination*

F1.5.6 All oral examinations will be conducted in the English Language.

F1.5.7 Supervisors may attend the oral examination with the consent of the student, examiners and Chair. The supervisor(s) does not have the right to participate in the examination of the student but may contribute if invited to do so by the examiners. Supervisors are required to withdraw prior to the deliberations of the examiners on the outcome of the examination.

F1.5.8 No more than two supervisors are permitted to attend the oral examination, with priority given to the first supervisor.

F1.5.9 The Head of the Research & Enterprise Training Institute may also attend any oral examination in an *ex-officio* capacity.

F1.5.10 Examiners may informally advise their recommendation on the outcome of the examination process to the student following their deliberations. The final decision rests with the Faculty Research Degrees Committee and no informal conveyance of their recommendation to the student shall have any bearing on the decision of the Committee.

## F1.6 Outcomes

F1.6.1 Where the examination process proceeds to the oral, or other approved form of examination, on completion of this the examiners will recommend an outcome to the Faculty Research Degrees Committee in accordance with the table below:

Award	Recommendations
PhD* EdD MPhil  <i>* not including the            By Published Work            route</i>	a) The degree being sought is awarded or;  b) The degree is conditionally awarded subject to minor amendments and corrections being made to the thesis to the satisfaction of the internal and/or external examiner or;  c) The degree is conditionally awarded subject to major amendments and corrections being made to the thesis to the satisfaction of the examiners or;  d) The student is permitted to resubmit for the degree being sought and be re-examined in accordance with one of the following:  (i) The thesis is considered satisfactory, but the student is required to undergo a further oral or other approved form of examination or; (ii) The thesis must be revised and, if considered satisfactory by the examiners, the student will be exempt from further examination, oral or otherwise or; (iii) The thesis must be revised and the student must undergo a further oral or other approved form of examination.  e) In the case of a PhD examination, the degree of MPhil is awarded subject to the presentation of the thesis amended to the satisfaction of the examiners or;  f) In the case of an EdD examination, the student is awarded a Masters Degree (MEdRes) or;  g) The thesis does not satisfy the criteria for a postgraduate research award, the degree is not awarded with no opportunity for re-examination.
PhD by Published Work	a) The degree of PhD by Published Work is awarded or;  b) The student is permitted to resubmit for the degree being sought and be re-examined. The thesis must be revised and, if considered satisfactory by the examiners, the student will be exempt from further examination, oral or otherwise.

F1.6.2 Where F1.6.1 b) or F1.6.1 c) are applied, students must submit the amended thesis by the following deadline:

- minor amendments within 3 months of formal notification of the examiners' decision
- major amendments within 12 months of formal notification of the examiners' decision

- F1.6.3 Normally only one further opportunity to submit the amended thesis will be permitted within the approved timescales in F1.6.2.
- F1.6.4 If the thesis is not amended to the satisfaction of the examiners by the deadline, the Examination Panel may recommend one of the following to the Faculty Research Degrees Committee:
- a) The degree of MPhil is awarded subject to the presentation of the thesis amended to the satisfaction of the examiners or;
  - b) The thesis does not satisfy the criteria for a postgraduate research award, the degree is not awarded with no opportunity for re-examination.
- F1.6.5 In the case of F1.6.4 b) the student will be formally withdrawn from their programme of study by the Faculty Research Degrees Committee with immediate effect.
- F1.6.6 In the case of a PhD by Published Work the student may be re-examined once subject to the satisfactory completion of additional work, but MPhil may not be awarded.
- F1.6.7 Where a student submits an amended thesis in accordance with F1.6.2 and the external examiner becomes unable to continue in their role or provide a response after a period of 15 working days, the Faculty Research Degrees Committee may:
- a) Accept confirmation from the internal examiner that the thesis has been amended to their satisfaction, where the examination team comprises of an internal and external examiner; or
  - b) Accept confirmation from the remaining external examiner that the thesis has been amended to their satisfaction, where the examination team comprises of two external examiners.
- F1.6.8 Where the examiners' recommendations are not unanimous, the Faculty Research Degrees Committee may:
- a) Accept the recommendation of the external examiner, where the examination team comprises an internal and external examiner; or
  - b) Accept a majority recommendation, where the examination team comprises an internal examiner and two external examiners; or
  - c) Appoint an additional external examiner where the initial examination team comprises two external examiners.
- F1.6.9 Where an additional external examiner is appointed, they must provide an independent written report on the thesis and examination reports. A further oral examination may also be conducted.
- F1.6.10 Based on the reports and recommendations of the examiners, the Faculty Research Degrees Committee will either:
- a) Confirm the recommendation of the examiners or;
  - b) In exceptional circumstances, propose an amended recommendation subject to seeking clarification from the Chair of the Examination Panel
- F1.6.11 Following recommendation by the examiners that an award should be made, the student is required to provide the Research & Enterprise Training Institute with a final, hard copy version of the approved thesis.

## **F1.7 Resubmission and Re-Examination**

F1.7.1 Students who fail at their first examination attempt will normally be allowed only one further opportunity for reassessment.

F1.7.2 The manner of reassessment is determined by the original decision of the Examination Panel.

F1.7.3 The same examination panel used to conduct the first examination should normally be used to conduct the re-examination of the candidate.

F1.7.4 For any reassessment requiring oral re-examination, the process is as per F1.5.6–F1.5.10.

*First submission did not proceed to oral examination following examiners' preliminary report*

F1.7.5 The student must resubmit the thesis within 12 months of the formal Examination Panel decision.

F1.7.6 Each examiner shall provide an independent preliminary written report on the thesis.

F1.7.7 Where the thesis is considered satisfactory, the student will proceed to oral examination.

F1.7.8 Where the examiners are of the view that the thesis resubmission does not meet the required standard to proceed to the oral examination, they may recommend one of the following outcomes to the Faculty Research Degrees Committee:

- a) The student is permitted to transfer to the MPhil, or;
- b) The thesis does not satisfy the criteria for a postgraduate research award with no further opportunity for reassessment.

F1.7.9 Where examiners disagree in their initial findings, the view of the external examiner shall take precedent.

F1.7.10 Where two external examiners are employed and there is a disagreement over the readiness of the thesis for examination, FRDC may appointment an additional external examiner. The majority view will prevail in determining the student's progression to oral examination.

*First examination outcome of resubmission or re-examination*

F1.7.11 Where the first submission of the thesis was considered satisfactory but the student was required to undergo a further oral examination (F1.6.1di):

- (i) The student will undergo a further oral examination within 3 months of the formal Examination Panel decision
- (ii) The examiners will recommend an outcome in accordance with F1.7.14

F1.7.12 Where the first submission of the thesis required revision but the student was exempt from further oral examination (F1.6.1dii):

- (i) The student must resubmit the revised thesis within 12 months of the formal Examination Panel decision
- (ii) The examiners will consider the revised thesis, in accordance with F1.5.1 and recommend an outcome in accordance with F1.7.14

F1.7.13 Where the first submission of the thesis required revision and the student was required to undergo a further oral examination (F1.6.1diii):

- (i) The student must resubmit the revised thesis within 12 months of the formal Examination Panel decision and;
- (ii) The examiners will consider the revised thesis in accordance with F1.5.1. If satisfactory, the examination will proceed to the oral examination. If it does not meet the required standard, the examiners will recommend an outcome as per F1.7.8
- (iii) If the reassessment proceeds to oral examination, the examiners will recommend an outcome in accordance with F1.7.14

F1.7.14 Following the completion of the re-examination process the examiners will recommend one of the following outcomes to the Faculty Research Degrees Committee:

- a) The degree being sought is awarded or;
- b) The degree is conditionally awarded subject to minor amendments and corrections being made to the thesis to the satisfaction of the internal and/or external examiner (not applicable where the original decision was F1.6.1di) or;
- c) In the case of a PhD examination, the degree of MPhil is awarded subject to the presentation of the thesis amended to the satisfaction of the examiners or;
- d) In the case of an EdD examination, the candidate is awarded a Masters Degree (MEdRes) or;
- e) The thesis does not satisfy the criteria for a postgraduate research award and the degree is not awarded.

F1.7.15 Where the examiners' recommendations are not unanimous following completion of the re-examination process, the Faculty Research Degrees Committee may:

- (i) Accept the recommendation of the external examiner, where the re-examination team comprised an internal and external examiner.
- (ii) Accept a majority recommendation, where the re-examination team comprised an internal examiner and two external examiners.
- (iii) Require the appointment of an additional external examiner, where the re-examination team comprised two external examiners, following which the majority recommendation shall prevail.

F1.7.16 Following approval by the examiners of any amendments, corrections or revisions, the title of the thesis must be the same as the original definitive title unless recommended by the examiners.

F1.7.17 Following recommendation by the examiners that an award should be made, the student is required to provide the Research & Enterprise Training Institute with a final, hard copy version of the approved thesis.

## **F2 Doctorate by Published Work**

### **F2.1 Initial Examination**

F2.1.1 The request for examination and examination processes are as per the Doctor of Philosophy i.e. F1.1.1 to F1.1.5.

F2.1.2 Following the examination process, the examiners may recommend either:

- a) the award of PhD by Published Work, or;
- b) the student is referred and is permitted to resubmit for the degree of PhD

## **F2.2 Resubmission**

- F2.2.1 Students who fail at their first examination attempt will normally be allowed only one further opportunity for reassessment.
- F2.2.2 Students must normally submit the revised material for re-examination within 12 months of the formal Examination Panel decision and provision of feedback.
- F2.2.3 Where the thesis is deemed satisfactory by the examiners, the student will be exempt from further oral examination.
- F2.2.4 Following assessment of the resubmitted material, the examiners may recommend one of the following outcomes to the Faculty Research Degrees Committee:
- (i) the student is awarded the PhD by Published Work, or
  - (ii) delay making a recommendation pending the arrangement of a further oral examination.
- F2.2.5 Where a further oral examination is required, the examiners may;
- (iii) recommend the award of PhD by Published Work, or
  - (iv) the student has failed to meet the standard required to make a recommendation for such an award.
- F2.2.6 Should the outcome of the further oral examination be that that the student has failed to meet the standard required for such an award, no further opportunity for resubmission will be permitted.
- F2.2.7 Following recommendation by the examiners that an award should be made, the student is required to provide the Research & Enterprise Training Institute with a final, hard copy version of the approved published work and associated documentation submitted in support of the application in a format that is akin to that of a PhD thesis of the University.

## **F3 Higher Doctorates (DSc, DTech, DLitt, LLD)**

- F3.1 The Higher Doctorate Panel in C3 will nominate a minimum of three external assessors to examine the submission. The Panel may consult externally to assist in the process of identifying suitable assessors.
- F3.2 The assessors should be acknowledged as experts of international standing in the field, or a very closely related field, corresponding to that set out in the submission made by the student. All assessors must be external to, and independent, of the University.
- F3.3 Each assessor will be required to submit an independent report on the merits of the submission to the Panel, which should also include a recommendation as to whether the award should be made.
- F3.4 Where there is disagreement between the reports of the assessors, the Panel may appoint an additional assessor(s), should this be considered to be an appropriate way of arriving at an overall recommendation.
- F3.5 Based on the assessors' recommendations, the Chair of the Panel is required to write formally to the Faculty Research Degrees Committee (FRDC) recommending either:
- a) The award of Higher Doctorate; or
  - b) The student has failed to meet the standard required for the award

F3.6 Following confirmation by the FRDC that an award should be made, the student is required to provide the Research & Enterprise Training Institute with a final, hard copy version of the published work and associated documentation submitted in support of the application in a format that is akin to that of a PhD thesis of the university.

## **G. ACADEMIC APPEALS**

- G1.1 Students may appeal against a decision made in relation to their research programme of study in accordance with the grounds for appeal stated in the *Academic Appeals Procedure (Research Awards)* [<http://www2.gre.ac.uk/current-students/regs>].
- G1.2 Academic appeals relating to the taught phase of the EdD programme will follow the processes and procedures set out in the university's *Academic Appeals Procedure (Taught Awards)*.
- G1.3 Academic appeals relating to the project/dissertation element of the Masters by Research programme will follow the processes and procedures set out in *Academic Appeals Procedure (Research Awards)* [<http://www2.gre.ac.uk/current-students/regs>].

## **H. CONFERMENT OF AWARDS**

### **H1 General Principles**

- H1.1 An academic award can only be conferred on a student who has satisfied the academic requirements to qualify for the award and all other requirements of the University.
- H1.2 Authority to decide that a student has satisfied the academic requirement for a research award is as follows:
- |                          |  |
|--------------------------|--|
| Doctorates/MPhil:        | <ul style="list-style-type: none"><li>• <i>Ratified by Faculty Research Degrees Committee</i></li></ul>  |
| Professional Doctorates: | <ul style="list-style-type: none"><li>• <i>Credit for research phase confirmed by Faculty Research Degrees Committee</i></li><li>• <i>Final award confirmed by Faculty Professional Doctorates Progression and Award Board</i></li></ul> |
| Higher Doctorates:       | <ul style="list-style-type: none"><li>• <i>Recommended by Higher Doctorate Panel</i></li><li>• <i>Ratified by Faculty Research Degrees Committee</i></li></ul>   |
- H1.3 The date of conferment of a PhD or MPhil degree will be the date of ratification by the Faculty Research Degrees Committee.
- H1.4 In very exceptional circumstances it may be necessary for an award to be rescinded. This could arise for two reasons:
- If, after the award has been ratified/confirmed, it should come to the attention of the Chair of the Faculty Research Degrees Committee/Progression and Award Board that there had been a breach of regulations which would affect the final outcome of the assessment and of which the Committee was not aware;
  - if an error in recording the decisions of the Faculty Research Degrees Committee/Progression and Award Board was undetected up to and after the point of publishing the results.
- H1.5 In these circumstances, the Chair of the Faculty Research Degrees Committee/Progression and Award Board will consult with the Director of Student & Academic

Services informing them of the circumstances. Subject to their advice, the following action should be taken:

- (a) if a recording error has taken place, the Chair will inform all members of the awarding body and issue a corrected record;
- (b) where it has been established by the appropriate procedure that a breach of regulations has taken place, the awarding body should be reconvened to reconsider the results of the affected students.
- (c) In all other cases the Academic Registry will be consulted on the appropriate procedure to be followed.

## **H2 Issue of award certificates**

H2.1 The certificate available to a student will be that specified in the regulations for the programme on which they are registered. Unless specified in the regulations, an interim certificate will not be awarded to a student who is continuing to the final award.

H2.2 Unless the award is made by an external body the certificate will be in the format approved by the University.

## **H3 Posthumous awards**

H3.1 In the unfortunate event of the death of a student (Posthumous) or a student being diagnosed with a terminal/debilitating illness (Aegrotat), the deceased/diagnosed student may be recommended for an award listed under B2 in line with the *Procedures for Posthumous and Aegrotat Awards*.

H3.2 For professional doctorates, awards will only be considered under these regulations where the deceased/diagnosed student was in the research phase of the programme.

## APPENDIX 1: UNIVERSITY RESEARCH AWARDS MADE IN ASSOCIATION WITH APPROVED COLLABORATING HIGHER EDUCATION INSTITUTIONS

### Regulations relating to MPhil, MPhil/PhD and PhD awards made in association with approved collaborating Higher Education/Research Institutions, Dual Awards and Joint Awards

#### 1 Research awards made in association with approved collaborating Higher Education/ Research Institutions

- 1.1 The University may enter into a formal collaboration with other approved/recognised higher education or research-based institutions for the purpose of furthering the postgraduate research endeavour. Accordingly, the regulations set out in this document will be those that will be used in situations where postgraduate research is undertaken under the auspices of the University as the formally recognised awarding body with other formally recognised higher education or research institutions that do not possess such research degree awarding powers.
- 1.2 A Faculty Research Degrees Committee will consider an application from a student who is proposing to undertake part of their research programme at an approved higher education institution or high level research institution, providing that, in addition to the overarching academic regulations for these awards as set out in this document, it also complies with the regulations and operational framework set out below.
- 1.3 The university, through the appropriate Faculty Research Degrees Committee, must be assured by the host Faculty/Department that the institution at which a student proposes to study as part of an approved programme of work leading to a research degree of the university, is a bona-fide institution of higher education or research institution of advanced standing as recognised by the Higher Education Funding Council for England (HEFCE), or the British Council, or equivalent, in the case of overseas institutions.
- 1.4 On the basis that a student will be undertaking an approved programme of work leading to the award of a research degree of the University of Greenwich, such research will be conducted in accordance with the relevant academic regulations and codes of practice of the University, and these will take precedence over those of the other institution, unless indicated otherwise in this Appendix.
- 1.5 The designated first and second supervisors must be contracted members of university staff. A local supervisor at the other institution should be the designated third supervisor, and will take responsibility for the day-to-day supervision of the student whilst they are studying at that institution.
- 1.6 The local supervisor should be appropriately qualified in terms of a good alignment of expertise and research interests to that of the proposed programme of research, as evidenced by their recent publications, and previous successful supervisions of research awards to a level equivalent to the final award at Greenwich being sought by the student. These may be assessed by the university supervisors interviewing the local supervisor. A customised CV of the local supervisor containing such information, should be appended to [Forms RDA1a-c](#) and submitted to the Faculty Research Degrees Committee to seek approval of the student's proposed programme of research.
- 1.7 The arrangements for frequent and substantial face-to-face contact between the student, the local supervisor and the university supervisors should be set out on [Forms RDA1a-c](#). University supervisors should meet the student in person at the University and other institution on an alternate basis at intervals of no more than two months for the duration of the student's registration with the University. The University supervisor(s)

should also keep in regular contact with the student and vice-versa, as to their progress and well-being.

- 1.8 In registering for a research degree, it is understood that a student will have access to appropriate facilities at the collaborating institution. It will be the responsibility of the host Department/Faculty to seek confirmation of this from the collaborating institution. Appropriate resources to support and facilitate the proposed research should include where applicable, but are not limited to, laboratory facilities, computing facilities and specialist software and access to appropriate books and journals. This should be evidenced by a report from a resources visit to the institution made by the proposed first supervisor or the Faculty Director of Research. Such evidence should be appended to [Forms RDA1a-c](#).
- 1.9 Should a major issue(s) arise whilst the student is studying at the collaborating institution, the first supervisor should immediately report this to the Chair of the relevant Faculty Research Degrees Committee, Faculty Director of Research and the Research & Enterprise Training Institute.
- 1.10 Students should spend no less than six weeks per year studying at the University, at a time agreed with the host Department/Faculty.
- 1.11 The host Department/Faculty will be responsible for all costs associated with supervisors in visiting and meeting with the student whilst they are studying at the collaborating institution.
- 1.12 It is the student's and first supervisor's joint responsibility to liaise with the relevant University contact to clarify the position on insurance related cover during the proposed period of study at the collaborating institution.

## **2 Dual Awards**

- 2.1 The regulations relating to MPhil, MPhil/PhD and PhD as set out in this document will be those that will be used from the University's perspective in situations where formally approved programmes of postgraduate research form the basis of making Dual Awards with other formally recognised collaborating higher education institutions that also possess research degrees awarding powers.
- 2.2 Arrangements for the establishment of a dual award must be considered by the relevant Faculty Research Degrees Committee as an integral part of the application to approve the proposed programme of research. To effect this requires the following to be appended to [Forms RDA1a-c](#) :
  - (i) Acknowledgement that a formally approved programme of collaboration exists between the University and the other collaboration university for the purposes of making joint awards, and that the awards of MPhil, MPhil/PhD and PhD are conditional on compliance with the University's *Academic Regulations for Postgraduate Research Awards* in their entirety.
  - (ii) How it is envisaged the proposed programme of research will be undertaken between the two universities, including timescales etc.
  - (iii) The name(s), qualification(s), research interests and supervisory experience of supervisor(s) who will support the student whilst they are studying at the collaborating university.
  - (iv) The facilities available to the student whilst studying at the collaborating university.
  - (v) The arrangement for regular and substantial contact between the student and University supervisors whilst the student is studying at the collaborating university.

- (vi) Evidence an agreement is in place concerning the division of services and costs in supporting the student in working towards the dual award.
- 2.3 Before any commitment is made regarding entering into any form of formal agreement relating to the award of joint research degrees, the Faculty Director of Research must liaise with the Deputy Vice-Chancellor (Research and Enterprise) over the matter.

### **3 Joint Awards**

- 3.1 The regulations relating to MPhil, MPhil/PhD and PhD as set out in Sections A, G and H of this document will be those that will be used from the University's perspective in negotiating and agreeing on the overarching academic regulations to be used in situations where formally approved programmes of postgraduate research form the basis of making Joint Awards with other formally recognised collaborating higher education institutions that also possess research degrees awarding powers.
- 3.2 Arrangements for the establishment of a dual award must be considered by the relevant Faculty Research Degrees Committee as an integral part of the application to approve the proposed programme of research. To effect this requires the following to be appended to [Forms RDA1a-c](#):
- (i) Acknowledgement that a formally approved programme of collaboration exists between the University and the other collaboration university for the purposes of making dual awards, and that the awards of MPhil, MPhil/PhD and PhD are conditional on the written academic regulations being agreed and approved by the two collaborating universities.
  - (ii) How it is envisaged the proposed programme of research will be undertaken between the two universities, including timescales etc.
  - (iii) The name(s), qualification(s) and supervisory experience of supervisors who will support the student whilst they are studying at the collaborating university.
  - (iv) The facilities available to the student whilst studying at the collaborating university.
  - (v) The arrangement for regular and substantial contact between the student and University supervisors whilst the student is studying at the collaborating university.
  - (vi) Evidence an agreement is in place concerning the division of services and costs in supporting the student in working towards the joint award.
- 3.3 Before any commitment is made regarding entering into any form of formal agreement relating to the award of joint research degrees, the Faculty Director of Research must liaise with the Deputy Vice-Chancellor (Research and Enterprise) over the matter.

## APPENDIX 2: RESEARCH PROGRAMMES CONDUCTED AT OVERSEAS INSTITUTIONS

### Regulations relating to arrangements for University postgraduate research students studying outside of the UK

- 1.1 A Faculty Research Degrees Committee will consider an application from a student who is proposing to undertake part of their research programme at an institution outside of the UK, providing that it is in compliance with the admission requirements of the university and the regulations and operational framework set out below. Such regulations and requirements will apply in cases where part of the student's research programme is conducted at such an institution for a total of three months or more for the duration of the programme.
- 1.2 The university, through the appropriate Faculty Research Degrees Committee, must be assured by the host Faculty/Department that the overseas institution at which a student proposes to study as part of an approved programme of work leading to a research degree of the university, is a bona-fide institution of higher education or research institution of advanced standing recognised by the British Council, or any other equivalent authority.
- 1.3 On the basis that a student will be undertaking an approved programme of work leading to the award of a research degree of the University of Greenwich, such research will be conducted in accordance with the relevant academic regulations and codes of practice of the University, and these will take precedence over those of the overseas institution, unless indicated otherwise in this Appendix document.
- 1.4 The designated first and second supervisors must be contracted members of university staff. A local supervisor at the overseas institution should be the designated third supervisor and will take responsibility for the day-to-day supervision of the student whilst they are studying at the overseas institution.
- 1.5 The local supervisor should be appropriately qualified in terms of a good alignment of expertise and research interests to that of the proposed programme of research, as evidenced by their recent publications, and previous successful supervisions of research awards to a level equivalent to the final award at Greenwich being sought by the student. These may be assessed by the university supervisors interviewing the local supervisor. A customised CV of the local supervisor containing such information should then be appended to [Forms RDA1a-c](#) and submitted to the Faculty Research Degrees Committee to seek approval of the student's proposed programme of research.
- 1.6 The arrangements for frequent and substantial face-to-face contact between the student and the local supervisor and the university supervisors should be set out on [Forms RDA1a-c](#). A university supervisor should visit the student in person at the overseas institution at intervals of no longer than six months for the duration of the student's period of study at the overseas institution. Whilst at the overseas institution the university supervisor(s) should also keep in regular contact with the student and vice-versa, with regards to progress and their well-being.
- 1.7 In registering for a research degree, it is understood that a student will have access to appropriate resources at the overseas institution. It will be the responsibility of the host Department/Faculty to ensure this. Appropriate resources to support and facilitate the proposed research should include where applicable but are not limited to access to laboratory facilities, computing facilities and specialist software and access to appropriate books and journals. This should be evidenced by a report from a resources

visit to the overseas institution made by the proposed first supervisor or the Faculty Director of Research. Such evidence should be appended to [Forms RDA1a-c](#).

- 1.8 Should a major issue(s) arise whilst the student is studying at the overseas institution, the first supervisor should immediately report this to the Chair of the relevant Faculty Research Degrees Committee, Faculty Director of Research and the Research & Enterprise Training Institute.
- 1.9 For students who are planning to study at the overseas institution for the majority of their research programme, they should spend no less than six weeks per year studying at the University of Greenwich, at a time agreed with the host Department/Faculty.
- 1.10 The host Department/Faculty will be responsible for all costs associated with the supervisors visiting and meeting with the student whilst they are studying at the overseas institution. The costs of the student visiting the University to facilitate compliance with regulation 3.1.9 is to be discussed and agreed between the University, student and overseas institution at the time the research programme is proposed, and the Faculty Research Degrees Committee must receive confirmation as to who will bear these costs when considering [Forms RDA1a-c](#).
- 1.11 It is the student's and first supervisor's joint responsibility to liaise with the relevant University contact concerning matters relating to insurance cover during the proposed period of study at the overseas institution.

## APPENDIX 3: CONFIDENTIALITY AND RESTRICTED ACCESS TO THESES

### Regulations relating to confidentiality and restricted access to theses

- 1.1 Where a postgraduate research student of the University wishes their thesis to remain confidential for a period of time after completion of the programme of research, application for approval will normally be made to the relevant Faculty Research Degrees Committee at the time the proposed examination arrangements are considered as set out on [Form RDA6a/b](#), but by no later than the thesis being forwarded to the examiners. In cases where the need for confidentiality emerges at a stage after approval of the examination arrangements, an application for the thesis to remain confidential should be made immediately to the Faculty Research Degrees Committee. Only in exceptional circumstances, with agreement of both examiners, and arising from the examination process, may an application be considered once the thesis has been dispatched to the approved examiners to initiate the examination process.
- 1.2 The period approved will not normally exceed two years from the date the Committee confirms the examiners' recommendation to award the degree. Where a shorter period of confidentiality would be adequate, the Committee will not automatically grant confidentiality for the maximum period of two years.
- 1.3 A successful application for confidentiality will result in:
  - (i) the electronic copy of the thesis not being made available through the Greenwich Academic Literature Archive (GALA), and
  - (ii) thesis title page and abstract not being lodged with the British Library.
- 1.4 The Faculty Research Degrees Committee will normally only approve an application for confidentiality in order to facilitate an application to protect intellectual property to be lodged or otherwise to protect commercially sensitive material which is the subject of an obligation of confidentiality to a third party. The availability of a thesis may not be restricted in this way in order to pursue or protect research leads, or publish a book or monograph.
- 1.5 Where a student does not wish their thesis to remain confidential for a period of time after completion of the programme of research, the University, through the main supervisor, may, on good grounds, or where there is an overriding commercial concern or obligation of confidentiality to a third party, request that the student's thesis is placed on restricted access in accordance with the procedure set out in regulation 1.1.
- 1.6 Normally, only one such application for confidentiality and restricted access to a thesis will be permitted.