

ARCHIVE:

Code of Practice for Postgraduate Research Degrees

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1. Introduction

- 1.1.** This Code sets out the policies of the University of East London (UEL) on required practice in all matters concerning postgraduate research degree programmes and activity. All postgraduate research students and their supervisors should be provided with a copy of this Code.
- 1.2.** This Code should be read in conjunction with Part 9 of the Manual of General Regulations, which relates to postgraduate research degrees; where there is variance, the standards and expectations set out in Part 9 will take precedence.
- 1.3.** Supervision of research degree students is influenced by numerous factors including the individuals involved, the nature of the work and corresponding discipline, the size of the school and the environment in which students and supervisors work. Subsequent variance across the University is consequently expected and school practice may vary accordingly. Schools may, where appropriate, reinforce and build upon this Code, but any deviation must be commensurate with the core standards and expectations set out below.
- 1.4.** For the purposes of this Code, a 'student' is any individual registered on a postgraduate research degree programme within our University, including but not limited to MPhil, PhD, PhD by Publication, MRes and professional doctorates, on a full-time or part-time basis. Any reference within this Code to individual programmes is made only when the information is relevant solely to that award.

2. Purpose of this Code

- 2.1.** The purpose of this Code is to provide a framework for the successful organisation and implementation of good practice in all matters relating to postgraduate research degrees at our University. It aims to ensure that all students are effectively supported and supervised, so that the full scope and potential of their research is realised; that their thesis is submitted within the regulatory periods set out in Part 9 of the Manual of General Regulations; and that they complete their programme of study with a suitable and sufficient portfolio of research and employment-related skills and competencies.
- 2.2.** The relevant Dean of school will be responsible for ensuring that staff and students involved with postgraduate research degree activity adhere to the requirements in this Code and Part 9 of the Manual of General Regulations.

3. Admission to a postgraduate research degree

- 3.1.** Academic schools will ensure that their admission procedures involve the judgment of at least two members of staff, at least one of whom is employed in an academic capacity at our University, both of whom will have received staff development in the selection and admission of postgraduate research degree students.
- 3.2.** Academic schools will ensure adherence to our University's policies and processes in assessing whether international applicants have or can acquire the appropriate level of English language proficiency. Further guidance on this may be sought from the International Office.

- 3.3. Academic schools will ensure they have suitable processes that include mechanisms for assessing student qualifications and preparedness reflecting professional or other work experience in cases where admissions decisions are based on experiential or prior-certified credit.
- 3.4. Academic schools will ensure that the research topic is viable, that the research environment is suitable and that sufficient resources are available to ensure the programme is completed within the periods stipulated in the Part 9 of the Manual of General Regulations.
- 3.5. Academic schools will ensure that applicants with disabilities are not disadvantaged or debarred by the criteria and procedures used for selecting students and that appropriate support is offered and available at interview. Where further guidance is required, academic staff may refer to the Disability and Dyslexia Access Centre (DDAC).
- 3.6. Academic schools will ensure that all applicants are made aware of the requirement to complete the programme within the regulatory period stipulated in the University's regulations; the requirements for successful annual progression; and the procedures for monitoring of progress at interview.
- 3.7. Academic schools are responsible for ensuring appropriate supervisory arrangements that adequately reflect the nature of the work concerned and the student's needs. Each student will be allocated a Director of Studies as part of the admissions process. The Director of Studies will be a member of staff at our University who has established research experience. A second supervisor will be nominated at the same time to support the student and stand in during the Director of Studies absence, assisting with monitoring the student's progression. A second supervisor need not necessarily be expert in the discipline of research under study, but must possess suitable academic expertise to contribute meaningfully to the programme of research. It is imperative that the second supervisor should be able to act independently of the Director of Studies. The second supervisor may be external to our University.
- 3.8. The Dean of school, or appointed delegate, has principal responsibility for ensuring that academic staff acting as Director of Studies or second supervisor for students are trained and informed about the processes of supervision and progression. Any member of staff who acts in a supervisory capacity for a student must have undertaken the relevant supervisory training.
- 3.9. Academic schools will ensure that their admissions processes demonstrate equality of opportunity for all candidates.

4. Offers of admission

- 4.1. Offers of admission will be made by the Admissions Office or the International Office as appropriate, once the completed application form has been received from the school. Two independent references must be received for all applications.
- 4.2. The offer of admission from the Admissions Office or the International Office will include details of the programme of study, the normal duration of study, and expected total fees, including any extra charges; indicative supervisory arrangements and the name of the indicative Director of Studies; references to the institutional regulations, research misconduct policy, induction arrangements, handbook and other relevant information for a research degree programme.

- 4.3. There are two intake points for postgraduate research degrees, one in September and the other in February on an annual basis. Prospective students may only start their programme within the enrolment periods indicated by our University.
- 4.4. In exceptional circumstances, students may be allowed to commence the enrolment period with our University at a point other than September or February. In such situations, the formal date of enrolment will be the start of the semester in which the enrolment took place.

5. Academic schools

- 5.1. All students will be enrolled and subsequently registered in one of our University's academic schools. Each school will provide appropriate programme specific documentation detailing local requirements and expectations, where necessary, and details of discipline specific research skills training. In the case of professional doctorates, a programme handbook will be provided with full details of the assessment requirements and programme structure.
- 5.2. The expectation is that students will become a full member of the research community in their school and will take considerable responsibility for the direction of their studies. Attending as many research events and conferences as possible will provide important networking and social-learning opportunities in addition to updating subject area knowledge. This will also count toward research skills development.
- 5.3. The local oversight of postgraduate research degree matters is the purview of School Research Degrees Sub-committee (SRDSC), which is ultimately responsible for supporting postgraduate research students within the school, under the leadership of the school's appointed Research Degrees Leader.
- 5.4. SRDSC will meet regularly throughout the academic year, to consider the necessary applications submitted by students throughout the course of their programme of study.
- 5.5. The Director of Studies will provide the student with advice about the preparation and submission of forms to register their research, to transfer their registration from MPhil to PhD, where necessary, and for the final *viva voce* oral examination arrangements to be approved. Additionally, any changes to the registered degree including changes to approved supervision arrangements or requests to suspend enrolment or registration will be submitted by the Director of Studies and student to SRDSC and Research Degrees Subcommittee (RDS).

6. Postgraduate research students

- 6.1. All students are expected to become familiar with Part 9 of the Manual of General Regulations and the provisions of this Code at an early stage in their programme.
- 6.2. All students must ensure they regularly check their allocated UEL email account. Schools, services and staff will communicate with students via this institutional account and it is the responsibility of the student to check it at regular intervals and respond as appropriate. No form of correspondence, whether or not it contains personal data, should be sent to personal email addresses from within our University.

- 6.3.** The research and resulting thesis are the work of the student and it is the expectation of our University that they take full and active responsibility for this. As part of their programme, students are expected to actively engage with the development of research and employability-related skills, engaging with all developmental opportunities available.
- 6.4.** Having received informed advice and guidance from their Director of Studies and supervisory team, students have responsibility for determining the appropriate point of submission for their thesis, within the regulatory periods stipulated in Part 9 of the Manual of General Regulations. It is generally regarded as good practice for the student and Director of Studies to reach an agreement on when the thesis is ready for submission.
- 6.5.** If the proposed research is part of a broader programme of work involving a group of investigators, particularly where this predates the registration of the postgraduate research programme, the student must provide an explicit statement, in conjunction with their Director of Studies, as part of their registration. This must make clear the respective role of the student in relation to the broader programme, including, details of the Principal Investigator (PI) and any other researchers, and the relevant aspects of work reported in the thesis. The statement must make clear the student's role in designing the study, developing data collection instruments or techniques, collecting and analysing primary data and generating conclusions based on this analysis. Any other researchers involved in the research must be named and their contributions specified. In addition, the Director of Studies and student should also consult our University's policies on plagiarism and academic dishonesty.
- 6.6.** All postgraduate research students are required to work with their Director of Studies and supervisory team on an agreed annual research skills development plan. Students are required to have regular contact with their Director of Studies and supervisory team to discuss a programme of practical and written work and training toward their research skills development plan. Students must give serious consideration to any guidance provided by their Director of Studies and supervisory team and should address any concerns expressed about their academic progress. Our University's requirements around research skills development are the responsibility of the Graduate School.
- 6.7.** Academic schools will be responsible for ensuring suitable and sufficient mechanisms are in place to ensure the research skills development of its students is monitored effectively at regular intervals.
- 6.8.** All students are required, where necessary, to participate in any research seminar programmes organised by the school and to present their work to their peers. Our University regards this as a vital part of the core learning experience, in addition to required research skills development.
- 6.9.** All postgraduate research students are required to present the final version of their thesis to their Director of Studies before submission. Where the Director of Studies advises the student against submitting the thesis, they are required to give written confirmation of this to the student with the reasons for advising against submission. The Director of Studies should ensure a copy of this written communication is kept on file.
- 6.10.** All postgraduate research students should acknowledge the University and their supervisory team in any public output which results from their research degree work.
- 6.11.** In matters relating to intellectual property rights and ownership, postgraduate research students should refer to the Director of Intellectual Property Development.

7. Quality assurance for postgraduate research degrees

7.1. Academic Board has ultimate responsibility for assuring and enhancing the quality of our University's research degree provision. The operational ownership of this is devolved to Quality Assurance and Enhancement (QAE) and RDS who, in turn, oversee and routinely audit the activity of SRDSCs. Further details of agreed standards and responsibilities shared between academic schools and QAE are set out in the Process Ownership Model for Postgraduate Research Degrees.

7.2. SRDSC has responsibility for:

7.2.1. ensuring the interests of research degree students are protected and that the standards of awards are maintained;

7.2.2. ensuring that research students and supervisors receive adequate advice and guidance in the preparation of all documentation they may be required to complete;

7.2.3. receiving and considering any proposal or request from a student or supervisor concerning the various stages of our postgraduate research degree programmes and to give, or withhold, an unconditional recommendation for approval to RDS;

7.2.4. managing the process of annual student review and to receive individual review reports and any associated action plans;

7.2.5. reporting any failed annual review to RDS;

7.2.6. receiving and approving the annual report on postgraduate research degree activity within the school, drafted by the Research Degrees Leader;

7.2.7. advising the Dean of school and School Board on any matters concerning postgraduate research degree programmes in the school;

7.2.8. receiving and considering the minutes and recommendations of designated sub-groups;

7.2.9. submitting to RDS recommendations for approval and confirmed minutes of SRDSC.

7.3. RDS has responsibility for;

7.3.1. ensuring the interests of research degree candidates are protected and that the standards of awards are maintained across our University;

7.3.2. receiving, on behalf of Quality and Standards Committee (QSC), recommendations from SRDSCs regarding postgraduate research candidates;

7.3.3. receiving the confirmed minutes of each SRDSC meeting;

7.3.4. receiving and considering reports and data to monitor and evaluate the success of our research degree programmes;

7.3.5. ensuring that our research degree regulations and associated procedures both recognise and promote relevant standards, expectations and codes of external agencies, such as the Quality Assurance Agency (QAA);

7.3.6. advising QSC on policy, strategy and management concerning our postgraduate research degree programmes and reporting on the robustness and effectiveness of procedures at SRDSC.

7.4. Our University awards the following research degrees; Master of Philosophy (MPhil); Doctor of Philosophy (PhD); Master of Philosophy (MPhil) by Publication; Doctor of Philosophy (PhD) by Publication; named professional doctorates; Higher Doctorates; and PhD (Europe). The standards and learning outcomes of the awards are detailed in Part 1 of the Manual of General Regulations.

8. Enrolment

- 8.1.** Upon successful enrolment, students are entitled to the use of all standard facilities at our University and supervision throughout the course of the research degree. All students are required to complete the enrolment process. Schools and HE providers in partnership with our University may not admit a student on to a postgraduate research degree programme prior to payment of relevant fees and confirmation of enrolment by issue of a student card. Enrolment must be completed at the beginning of each academic year or semester of attendance.
- 8.2.** First year students are expected to meet with their indicative supervisors as soon as possible after enrolment to clarify their research topic, identify skill training needs, agree a preliminary schedule and formulate a research proposal in preparation for registration.

9. Research environment

- 9.1.** Any offer of admission to a programme of postgraduate research with our University should only be made where students can be admitted to an appropriate environment to do and learn about research. This may include:
 - 9.1.1.** opportunities to work with researchers in the relevant field who are cognate in research and also related fields;
 - 9.1.2.** access to appropriate academic and administrative staff who are able to advise and support the student during their research degree;
 - 9.1.3.** supervisory support that actively encourages the development and successful completion of the chosen programme of research;
 - 9.1.4.** suitable and sufficient guidance on our University's standards around research ethics, research governance, plagiarism and intellectual property;
 - 9.1.5.** opportunities to develop relevant research and employment-related skills and competencies through access to suitable training opportunities;
 - 9.1.6.** access to appropriate research facilities and resources, including library and computer facilities, laboratories and desk space.
- 9.2.** It is the responsibility of the relevant school to ensure students have adequate access to appropriate academic resources and facilities while not in attendance at our University, such as when registered as 'split-site' or conducting overseas fieldwork. Schools are required to exercise academic judgment in deciding what constitutes adequate access and what are appropriate academic resources and facilities for the research; taking into account the discipline and research topic of the student.
- 9.3.** To obtain access, the student will ordinarily be required to be an employee or be registered with a local HE provider (e.g. a University, research centre or company).
- 9.4.** Normally appropriate academic or other facilities will include but not be limited to libraries, laboratories, computers and desk space.
- 9.5.** The student will be required to provide a letter from an appropriate person in authority at the local institution confirming right of access to appropriate academic or other facilities and to whom our University may make any necessary further enquiries.

9.6. Our University's *'Policy on split-site arrangements for postgraduate research students domiciled outside of the UK'* details the various standards and requirements for students enrolled and registered for a postgraduate research programme at UEL or a partner HE provider who typically intends to undertake the majority of their research at an HE provider or research institution overseas. All applications for admission on a 'split-site' basis must be reviewed by SRDSC.

10. Teaching Opportunities

- 10.1.** Students may be offered teaching duties within an academic school. Although this is a valuable source of income and experience it is not advisable to over extend any commitments to teaching if the student wishes to complete the research degree within the agreed timescale.
- 10.2.** 'Teaching duties' should be regarded as any teaching commitments of an on-going nature across a semester or academic year (e.g. contact time and a reasonable allowance for preparation). A 'one-off' guest lecture would not count as teaching duties in this context.
- 10.3.** Our University is committed to supporting students in carrying out teaching activity. As a consequence, if a student is asked to undertake teaching duty at UEL, and has less than two years experience of teaching in Higher Education, they will be required to enrol on the Teaching Skills for PGR Students workshop prior to undertaking any teaching.
- 10.4.** As an alternative, students may enrol on the Lecturer's Development Programme although, as the name suggests, this is primarily orientated toward newly appointed lecturers.
- 10.5.** Additionally, students may also enrol for the Post-Graduate Certificate in Learning and Teaching in Higher Education, but this is a major commitment and will almost certainly impact on the student's ability to pursue their research.
- 10.6.** In line with the guidance of Research Councils within the UK, such work may be undertaken provided that:
- 10.6.1.** the total demand on time, including contact time and a reasonable allowance for preparation and marking, does not exceed 180 hours for full-time and 90 hours for part-time students in any one academic year;
 - 10.6.2.** the total demand on time does not exceed six hours in any week for full-time and three hours for part-time;
 - 10.6.3.** the work is compatible with and relevant to the student's programme of doctoral study;
 - 10.6.4.** the Director of Studies approves of the work being undertaken.
- 10.7.** It is the expectation of our University that full-time students devote at least thirty-five hours a week, on an on-going basis, to their research. The requirements for part-time attendance on a postgraduate research degree programme will be pro-rata to that of full-time students.

11. Students transferring from/to another HE provider

- 11.1.** Where a student transfers from another HE provider directly on to a research degree programme with our University, formal notification must be forwarded to RDS. This also applies where a student transfers out of our University to postgraduate research degree programme delivered by another HE provider.
- 11.2.** In addition to standard admissions requirements, the academic school should take account of the following factors when deciding to approve an application for transfer; if the grounds for transfer are acceptable; if the applicant transferred their registration from MPhil to PhD at the previous HE provider; the period of advanced standing that is requested; and the bona fide status of the previous HE provider.
- 11.3.** Where a request for transfer from a student at another HE provider is received, a full research skills needs analysis will be undertaken prior to any offer of admission.
- 11.4.** Where a student has transferred the registration of the research at the previous HE provider from MPhil to PhD, they may be eligible for admission to the PhD Direct. Where the student is on the MPhil stage, admission to the PhD Direct is not permitted.
- 11.5.** All students transferring into our University are required to enrol for a minimum of twelve months in full-time mode, or twenty four months in part-time mode.

12. Attendance

- 12.1.** The attendance requirements set out below apply to all international, home and EU students.
- 12.2.** In the case of international students, the UK Border Agency (UKBA) requires our University to report any student who does not meet our attendance policy requirements (i.e. expected interactions/contacts).
- 12.3.** For the purposes of this Code and postgraduate research degree programmes, our University interprets 'expected interactions/contacts' as below (this list is not exhaustive):
 - 12.3.1.** An interaction between a student and Director of Studies or other member of the supervisory team may be face-to-face, via email, telephone, video-communication via the internet, and attendance in a laboratory or other University location; or submission of draft sections of the thesis. All interactions but must be evidenced by a tangible record which must be preserved and produced as evidence should it be required.
 - 12.3.2.** An interaction with our University could be enrolment, payment of fees, an annual review panel, a PhD transfer panel or oral examination but must be evidenced by some tangible record of the interaction which must be preserved and produced as evidence should it be required.
- 12.4.** It will be the responsibility of the Director of Studies to proactively monitor attendance through relevant interactions. If a student, regardless of fee paying status, misses a scheduled interaction with the Director of Studies or other member of the supervisory team without communicating a verifiable reason the following must occur:

- 12.4.1.** Within 10 working days the Director of Studies will attempt to make contact with the student to ascertain their situation and to inform them that if they fail to re-engage with their studies, where necessary, this fact will be communicated to the UKBA.
- 12.4.2.** If the Director of Studies receives no response within a further 10 working days they will notify the Research Degrees Leader and / or member of administrative staff appointed to postgraduate research degrees in the School (as applicable) that the student is not in attendance. They will notify Student Records that the student should be withdrawn.
- 12.4.3.** If the Director of Studies receives a response from the student they will schedule a face-to-face meeting, or a video/telephone conversation to occur within 10 working days of the response. If the student fails to attend the meeting or misses the scheduled conversation the Director of Studies must notify the Research Degree Leaders and / or Research Administrator within the School (as applicable) immediately. They will notify Student Records that the student should be withdrawn.
- 12.5.** In all cases, where international students are concerned, notification must be passed to the International Office within the timeframes laid out above.
- 12.6.** The Director of Studies and student should, on an annual basis, agree the nature and frequency of scheduled meetings in line with the ongoing requirements of the programme.

13. Ethics and governance for postgraduate research

- 13.1.** As part of a student's induction, it is the responsibility of the relevant school to ensure sufficient attention has been drawn to this Code and that the student is aware of their responsibilities in relation to research ethics and research governance, as stated in our University's Code of Practice for Research Ethics.
- 13.2.** All staff and postgraduate research students at our University have a duty to conduct their research in accordance with the Code of Practice for Research Ethics, which applies to all levels of study and also to external staff where the research is sponsored or co-sponsored by our University.
- 13.3.** All postgraduate research involving human participation, human material and human data must receive ethical clearance from University Research Ethics Committee (UREC) or, where necessary, a REC recognised by the Secretary of State before it can proceed. Where a student or member of staff is found to have engaged in research where our University is the sponsor or co-sponsor without appropriate clearance, they may be subject to disciplinary action and/or the programme of research terminated.
- 13.4.** The principal role of UREC is to represent the interests of participants involved in research projects where our University is involved. UREC regards the acquisition of informed consent from participants prior to the commencement of research as integral. Any research that involves groups of children and/or vulnerable adults as participants or takes place on premises where children and/or vulnerable adults are present will also require Criminal Records Bureau (CRB) clearance.

- 13.5. Research ethics and research governance will be discussed as part of the research skills training programme delivered by the Graduate School. QAE also offer more specialised guidance and consultation around proposed research requiring ethical approval in addition to ad-hoc training.
- 13.6. Where the student's proposed programme of research involves overseas travel as part of the fieldwork, specific institutional approval is required from Vice-Chancellor's Group (VCG), involving a region-specific risk assessment. Where a student is found to have engaged in overseas travel for the purposes of research without VCG approval, they may be subject to disciplinary action and/or the programme of research terminated.
- 13.7. It is the responsibility of the Dean of school to ensure that all students undertaking research requiring ethical approval have the necessary indemnity cover, in line with our University's policy. Where research involving human participants, human data or human material is undertaken without ethical approval, the researcher(s), including the student, may be personally liable for any resulting claims or litigation that arise.
- 13.8. For the purposes of student research, the Director of Studies must always be identified as the Principal Investigator (PI).
- 13.9. All students must ensure that our University is clearly identified as sponsor or co-sponsor in all documentation passed to participants of the research, including the participant information sheet and consent form.

14. Funding and employment

- 14.1. Prior to enrolment on a postgraduate research degree programme at our University, students are expected to make arrangements to ensure sufficient means to pay tuition fees or to make arrangements for a sponsor or research council to do so.
- 14.2. All students considering applying for research council funding for their programme should refer to the Graduate School for advice on the necessary procedures. If funding has been secured for the programme, the student must make clear at the point of enrolment so that the correct invoice is prepared.
- 14.3. Where a student is in receipt of external funding for the research degree programme, obligations may be imposed by the funding body. Students are advised to carefully review the conditions of the award and contact their Director of Studies where there is need for further clarification.

15. Suspension of enrolment or registration

- 15.1. Any period of suspension must be agreed by SRDSC in advance, with retrospective requests only considered in the most exceptional circumstances, as specified in Part 9 of the Manual of General Regulations. Approved periods of suspension may commence only at the beginning of each academic semester, for periods from one semester up to a total of two academic years.
- 15.2. In the first instance, a student may seek approval for twelve months of suspension following agreement with the Director of Studies and relevant school. A further twelve months is permissible only in exceptional circumstances, specific examples of which are provided in Part 9 of the Manual of General Regulations.

- 15.3.** Following twenty four months of approved suspension to enrolment or registration where a student is unable to return to their programme, the relevant school will be responsible for withdrawing their registration with our University.
- 15.4.** Students seeking approval of suspension to the period of enrolment or registration should first consult any professional and/or statutory regulatory body requirements related to the programme.
- 15.5.** Our University is legally obligated to notify the UK Border Agency (UKBA) when an international student ceases attendance on a research degree.
- 15.6.** In all cases, where an international student requests suspension of enrolment or registration, consultation with the International Students Advice Team is mandatory and must occur in advance of any consideration or recommendation for approval from SRDSC to RDS. The Director of Studies and the student have principal responsibility for ensuring adherence to this policy.

16. Withdrawal

- 16.1.** Students seeking withdrawal from a postgraduate research degree programme must first notify their academic school, in writing, following consultation with their Director of Studies. The academic school is responsible for then notifying Student Records, giving the last date of attendance and the stated reasons for withdrawal. The Director of Studies will be responsible for ensuring the reasons for withdrawal are recorded on the student's permanent DELTA record.
- 16.2.** Our University regards it as good practice to withdraw at the point of annual review or when failure to adhere to the attendance policy for postgraduate research students occurs. It is also permissible for students to be withdrawn outside of the annual review and attendance requirements. If an academic school wishes to withdraw a student from a postgraduate research degree programme, the request should be forwarded by the Director of Studies to RDS outlining the reasons for the decision, alongside sufficient supporting evidence.
- 16.3.** Where a student fails an annual review, or the subsequent reconvened annual review, it is the responsibility of the Research Degrees Leader for the school to ensure withdrawal from the research degree takes place in advance of the start of the next academic semester.
- 16.4.** Where an international student is withdrawn or requests withdrawal, it is the responsibility of the Director of Studies to ensure the International Office are consulted prior to any formal action being taken.

17. Supervision

- 17.1.** The responsibility for providing appropriate supervisory support for postgraduate research students resides with the relevant academic school. Such support should be both academic and pastoral, and should reflect the nature of the work alongside the student's individual needs.

- 17.2.** Each student will be allocated a Director of Studies and a second supervisor as a minimum, with additional supervisors and advisors being added on the basis of the specific requirements of the student. The Director of Studies will be a member of staff of our University and will assume principal responsibility for the supervision of the student; the second supervisor may act independently of the Director of Studies, with both parties assuming joint responsibility for supervision up until the completion of the programme.
- 17.3.** The regulations specify that supervisors should previously, and collectively, have supervised at least two students through to successful completion. Additionally, all academic staff appointed as supervisors are required to attend a mandatory staff development workshop within six months of being appointed.
- 17.4.** The maximum number of students, whether full-time or part-time, that may be supervised by an individual as either Director of Studies or supervisor will be nine. This will be pro-rata for part-time members of staff.
- 17.5.** The maximum numbers laid out in this Code may only be exceeded if the Dean/Director of the relevant school or service confirms to RDS that the quality of the student's learning experience will be protected through an adjustment of the academic workload for the relevant supervisor(s).
- 17.6.** The Director of Studies will also be responsible for agreeing the respective responsibilities and roles of the supervisory team and ensuring progress is reviewed at appropriate points in the academic year.
- 17.7.** Emeritus Professors of our University are eligible to act as Director of Studies or supervisors for students.
- 17.8.** In line with the expectations and standards of this Code and Part 9 of the Manual of General Regulations, the Director of Studies has principal responsibility for the following:
- 17.8.1.** To ensure the student is provided with guidance on the nature of research and corresponding standards; planning the research programme; specific guidance on relevant literature and sources; required attendance on relevant taught modules; continued motivation to actively engage with ongoing developments within the field of research;
- 17.8.2.** To ensure the student is aware of the importance of keeping appropriate records of the outcomes of meetings and related activities, including a record of record of regular, 'routine' meetings with supervisors;
- 17.8.3.** To ensure a suitable and sufficient system is maintained to keep record of all supervisory meetings, contacts and interactions;
- 17.8.4.** To ensure that, where the expectations around attendance included in this Code are not met, the corresponding process is followed and, where required, the student is withdrawn from the programme and notice forwarded to appropriate parties (where withdrawal of an international student occurs, notification must be forwarded to the International Office);
- 17.8.5.** To ensure the student is fully aware of required rights and responsibilities; including an awareness of the regulations governing research degree programmes, our University's Health and Safety framework, Code of Practice for Research Ethics, Data Protection Policy and any further standards relating to intellectual property rights and ownership;

- 17.8.6.** To ensure the student is provided with detailed advice on the necessary completion dates of successive stages of the research degree programme and mutual agreement is reached over objectives for each stage, to ensure that the thesis or other form of submittal may be submitted within the scheduled time;
- 17.8.7.** To ensure the student is provided with advice and guidance on writing up the research, requesting written work as appropriate and returning work within an agreed timeframe; providing regular feedback and constructive criticism and to review the complete draft of the work prior to submission;
- 17.8.8.** To ensure the student is provided with guidance on the arrangements for meeting individual research skills development needs, following a suitable needs analysis; to provide support in identifying and meeting research skills development needs and to advise on developmental opportunities which both the school, the Graduate School and our University make available on a broader level;
- 17.8.9.** To ensure the student is made aware of the requirements of research skills training, for which the Graduate School has lead responsibility within our University, and referring them to relevant resources, policies and training as required;
- 17.8.10.** To ensure the student is assisted with the development of research and employment-related skills and competencies;
- 17.8.11.** To ensure the student is encouraged to discuss and present ongoing work at staff or graduate seminars and to engage with peers;
- 17.8.12.** To ensure the student is encouraged and assisted, where necessary, to publish the results of the research and to present it at scholarly conferences;
- 17.8.13.** To ensure that the academic school is aware of cases where consideration may need to be given to the protection of intellectual property rights and/or where confidentiality of the thesis may need to be considered or embargoed;
- 17.8.14.** To ensure the student has sufficient awareness of the ethical issues relating to the proposed research and, where necessary, makes application for formal approval to University Research Ethics Committee (UREC) before the research is undertaken; ensuring the student is aware that no contact with potential participants for the proposed research may take place until UREC approval is achieved and that to do so may result in disciplinary action;
- 17.8.15.** To ensure the student is advised on, and where necessary completes, the documents associated with the various stages of the programme and ensures the documents are submitted in a timely manner for approval by SRDSC and, where necessary, RDS;
- 17.8.16.** To ensure the student undertakes an annual review for each year of the programme and that the outcome is commensurate with the requirements of this Code and Part 9 of the Manual of General Regulations;
- 17.8.17.** To ensure the student is informed in a timely manner if the progress and standard of work is unsatisfactory and agree a suitable plan of action to address these issues;
- 17.8.18.** To ensure that, should a major change in the research project occur, appropriate adjustments are made to the supervisory arrangements and, where necessary, ethical approval of amendments are obtained from UREC;

- 17.8.19.** To ensure suitable examiners are recommended for the final oral examination at least six months before submission of the final thesis, following discussion with the student;
- 17.8.20.** To ensure that no form of contact with the examiners occurs once arrangements are approved and examination conditions are in effect, with the understanding that to do so may result in the cancellation of the examination and/or the programme;
- 17.8.21.** To ensure practical and logistical arrangements are in place for the examination and coordinate accordingly with administrative staff responsible for postgraduate research degrees within the school;
- 17.8.22.** To ensure the student is prepared, as far as is possible, for the examination;
- 17.8.23.** To attend the examination only where a direct request to do so is received from the student;
- 17.8.24.** To ensure the student is advised and supported appropriately where, following the examination, further amendments to the thesis and/or a second oral examination are requested by the examiners.
- 17.9.** The second supervisor may play a significant role in the student's supervision, assuming a number of different roles and bringing specialised expertise and knowledge of particular research techniques or areas of study. Some roles that a second supervisor may reasonably assume are as follows:
- 17.9.1.** Acting as a stand in during periods where the Director of Studies is unavailable;
- 17.9.2.** Providing a second opinion on the research topic, though not normally an alternative approach to that proposed by the Director of Studies;
- 17.9.3.** Providing pastoral support to the student, particularly where difficulties with the Director of Studies arise;
- 17.10.** The second supervisor should meet with the student shortly after induction (preferably at a joint meeting with the Director of Studies). They must be kept informed of the student's progress and should be fully involved in the annual review process. In some cases, although the Director of Studies has lead responsibility for supervision, the day to day activities may be a role for the second supervisor. In this case, it is essential that the position of the supervisor(s) is regularised, agreed and understood by all parties; the student, the two supervisors and advisor, where applicable.
- 17.11.** It is the responsibility of the school to ensure that indicative supervisory arrangements are normally finalised at the point of admission. The roles of Director of Studies and second supervisor carry equal responsibility in terms of ongoing supervision, although it is normally the Director of Studies' responsibility to deal with the administrative aspects of supervision.
- 17.12.** Where the use of external expertise is sought but the nominated parties are unable to fulfil the requirements of a supervisor, they may hold the status of an advisor. Where the work of the student extends significantly outside the supervisory team's field, the Director of Studies will be responsible for seeking specialists from another academic school or, alternatively, outside our University, who may be appointed in this role. Such recommendations must be included with relevant documentation forwarded by SRDSC to RDS.

- 17.13.** It is not normally the responsibility of the advisor to offer an alternative approach to the main research topic but rather to impart highly specialist knowledge. The Director of Studies is responsible for ensuring the supervisory team meet and identify roles and responsibilities in a timely manner.
- 17.14.** The Dean has overall responsibility for research students within their academic school, although they may delegate the day-to-day oversight to a Research Degrees Leader, an Associate Dean or a senior research-active colleague.

18. Registration

- 18.1.** All research students are subject to two distinct processes involving enrolment and registration, for specific periods set out in Part 9 of the Manual of General Regulations. The periods of enrolment and registration must be consistent with the mode of attendance. The mode of attendance for the period of registration should also be consistent with that of the period of enrolment.
- 18.2.** Registration is the formal process through which the student is placed on a specific programme of study leading to the award of a postgraduate research degree. Ordinarily, the date of registration is the initial date of enrolment for the MPhil/PhD programme. The process of registration should be completed within six months of enrolment for full-time students and within twelve months for part-time students. For professional doctorate students, the time between enrolment and registration will vary.
- 18.3.** All research students are required to complete the formal process of registering the research via SRDSC and RDS on the relevant form provided by QAE.
- 18.4.** Direct registration for the degree of PhD may be permitted if the student holds a research Master's degree (MPhil or equivalent) awarded by our University or by a recognised United Kingdom or international higher education provider.
- 18.5.** The registration of the research will be required to sufficiently demonstrate the following; the aims and objectives of the project; that the student can acquire the knowledge and skills to successfully complete the project within the appropriate timescale; that the proposed supervisory team has the skills, knowledge and experience necessary to successfully supervise the student; and that the research environment in the academic school is suitable and that sufficient resources are available to the student.
- 18.6.** It is possible for a student to gain an extension to the registration periods outlined in Part 9 of the Manual of General Regulations. This application should be made directly to RDS detailing the reasons for the request, including appropriate evidence.
- 18.7.** Where a student has transferred on to a postgraduate research degree with our University from another HE provider with whom the research had been registered, the period of registration may be adjusted subject to requirements in Part 9 of the Manual of General Regulations. The registration document should clearly indicate the length of registration with the previous HE provider.

19. Transfer from MPhil to PhD

- 19.1.** Where a student is enrolled and registered for a PhD via MPhil they are required to formally apply for approval to make the transfer to PhD. The transfer will initially be considered by SRDSC before formal approval at RDS.
- 19.2.** The relevant academic school will be responsible for ensuring the request for transfer is heard by a panel consisting of a minimum of two and a maximum of six research active members of staff with appropriate academic and professional expertise, who are also independent of the supervisory team. The student must be present at the meeting of the panel and may request that the supervisory team also attend.
- 19.3.** The application will normally be made after nine to fifteen months of full-time study (or part-time equivalent) and should be supported by a 3,000 to 6,000 word progress report including a brief review and discussion of the work already undertaken and an account of intended further work. This should also include a statement indicating how the research makes an original contribution to knowledge.

20. Annual Review

- 20.1.** Continuation as an enrolled student is dependent on successful completion of an annual review, with academic schools assuming lead responsibility for adherence to this policy. SRDSC will be responsible for putting in place suitable mechanisms to formally monitor this, with the Research Degrees Leader required to submit a list of all students in the academic school, giving an update on the status of annual reviews. This list should be presented at the second meeting of the SRDSC in both semesters A and B.
- 20.2.** Where an unsuccessful annual review takes place, the Research Degrees Leader is responsible for notifying RDS in a timely manner, giving an update on the proposed course of action, whether the student has been granted a follow-up attempt or is to be withdrawn.
- 20.3.** It is the responsibility of the student to ensure that satisfactory progress is maintained to enable the successful and timely completion of the postgraduate research degree programme. The progress of the student will be regularly reviewed both informally with members of the supervisory team, where general matters are discussed, and formally through the annual review process.
- 20.4.** The main purpose of the annual review process is to provide the student with support towards successful completion within the appropriate timescale for the degree, as specified in Part 9 of the Manual of General Regulations. In addition, the annual review process provides an opportunity for the student to feedback on their learning experience.
- 20.5.** As part of the School Postgraduate Research Annual Report, the Research Degrees Leader for the school will report on the overall progression of students, which will include statistical data reporting on annual review activity.
- 20.6.** The process of annual review will entail the Officer for SRDSC, or appointed member of administrative staff, taking responsibility for the following:
 - 20.6.1.** Providing all those involved in the annual review process (panel members, student and supervisors) with the date, time and venue of the review and a copy of the progress report;

- 20.6.2.** Providing the student with Form A, which must be returned at least three weeks prior to the meeting complete with the progress report. The form will be provided to the Chair of the panel prior to the review meeting;
- 20.6.3.** Providing the supervisory team with Form B, which must be completed and returned at least two weeks in advance of the meeting;
- 20.6.4.** Providing all panel members one week before the meeting with the progress report, and completed copies of Forms A and B. A blank copy of Form C should be sent to the Chair only. Form C should be completed by the Chair of the annual review panel;
- 20.6.5.** Ensuring that, following review and consideration by SRDSC, a copy of all documentation is placed on record within the school for future audit purposes. If there are issues that should be brought to the attention of SRDSC these should also be highlighted in the documentation;
- 20.7.** The Research Degrees Leader for the school is responsible for ensuring that every student enrolled on a postgraduate research degree submits to the annual review process. Following the completion of an annual review for each student enrolled in the school, the Research Degrees Leader will report back to SRDSC with an overall analysis.

21. Annual review progress report

- 21.1.** The annual review progress report should focus on development achieved in the preceding year and must, where relevant; refer back to the previous annual review progress report. If the student has specific issues that they wish to raise during the annual review, these should be included in the report.
- 21.2.** The progress report must include a clear summary of the following, in relation to development over the preceding twelve months:
 - 21.2.1.** The title of the research programme and start date;
 - 21.2.2.** The aims and methodology of the proposed research;
 - 21.2.3.** An appropriate literature review;
 - 21.2.4.** A summary of research training to date, including identification of any skills training needs;
 - 21.2.5.** A forward plan for completion of the research and submission of the thesis.
- 21.3.** The report submitted at the end of the second year of study should be the same but with the omission of the literature review and inclusion of any draft chapters or presentations made. If the student has submitted the thesis by the end of the third year of study then a progress report is not required as the meeting will be used to prepare you for the oral examination. If the student has not submitted the thesis by the end of the third or subsequent year of study then a progress report should be submitted as in the second year, which must include:
 - 21.3.1.** A summary of progress in the research and data gathering;
 - 21.3.2.** A summary of how much of the thesis has been written up;
 - 21.3.3.** A forward plan for the completion of the thesis including a timetable and expected submission date.

- 21.4.** As part of the annual review, the student will be expected to make a brief oral presentation, ordinarily lasting no more than fifteen minutes. This should provide a brief summary of progress over the past twelve months and should conclude with any issues the student wishes to discuss with the panel or other skill development issues. The student should also give a narrative account of the work undertaken over the preceding twelve months.
- 21.5.** In making their recommendation, the panel must consider the progress made in the research programme taking into account the dates of enrolment and formal registration. Review panels must take into account the minimum and maximum periods of registration for the programme as specified in Part 9 of the Manual of General Regulations.
- 21.6.** In deciding upon the outcome of the annual review, the panel may recommend one of the following:
- 21.6.1.** That the student should progress to the next academic year;
 - 21.6.2.** That an amended progress report is submitted where the panel agree to reconvene within two months at a time suggested by the Chair. The panel must also provide written guidance to the student on matters that need to be addressed prior to the subsequent review meeting;
 - 21.6.3.** That the student be withdrawn.
- 21.7.** In the case where a student fails to attend/undertake an annual review, the SRDSC have the option of recommending the student be withdrawn from the programme on the basis of failure to meet the conditions of the annual review.
- 21.8.** In all cases, written feedback must be provided to the student within two weeks of the meeting.
- 21.9.** After satisfactory completion of an annual review, the student must re-enrol annually. This is the sole responsibility of the student and should be done via UEL Direct. Students are not permitted to re-enrol without successfully completing the annual review process. The Research Degrees Leader and SRDSC for the school will be responsible for ensuring full adherence to this policy.

22. Write-up

- 22.1.** Where the student has completed the research and requires no form of supervisory support beyond feedback on the drafting of the thesis and/or administrative matters, the student may apply to RDS for approval to transfer to the reduced-fee write-up status.
- 22.2.** An application for transfer to write-up can only be made once the minimum registration period, as detailed in Part 9 of the Manual of General Regulations, has elapsed.
- 22.3.** A student may hold write-up status for a maximum of twelve months only. It is the responsibility of SRDSC to ensure appropriate mechanisms are in place to monitor write-up periods and ensure this expectation is met.
- 22.4.** Where the student fails to submit the final version of the thesis within the write-up period of twelve months, they may be transferred back to the full fee status they held prior to transfer for an additional maximum period of twelve months.

- 22.5. Where submission is not achieved by the end of the additional period of twelve months subsequent to the write-up period, the student's registration status with our University will be withdrawn by SRDSC.
- 22.6. As part of the application for transfer to write-up status, the Director of Studies will be responsible for providing the necessary confirmation to RDS that the following conditions have been met:
 - 22.7. that the minimum registration period has elapsed;
 - 22.8. that a significant number of draft chapters of the thesis are complete or nearing completion;
 - 22.9. that the student no longer requires access to our University's research facilities, laboratories, resources and equipment, beyond that required for the writing-up of the research findings;
 - 22.10. that all primary data gathering and data analysis activities are complete.

23. Oral examination (*viva voce*)

- 23.1. Students must decide, subject to satisfactory progress and in consultation with the Director of Studies and supervisors, the most appropriate time to submit the thesis, taking into account the minimum and maximum registration periods as set out in Part 9 of the Manual of General Regulations.
- 23.2. All students are advised to consult the Director of Studies over the adequacy of the thesis prior to final submission to the Graduate School.
- 23.3. Where the Director of Studies advises the student against submitting the thesis, they are required to provide written confirmation of this to the student detailing the reasons for advising against submission. The Director of Studies should ensure that the member of administrative staff within the school responsible for postgraduate research degrees is copied in to this communication. This document should also be kept on the student's permanent file.
- 23.4. The student should, in liaison with the Director of Studies, submit an application for the approval of the examination arrangements (on Form EXA) to the relevant SRDSC. This application must then be formally endorsed by RDS, normally six months, and no less than two months, before the intended date of the oral examination.
- 23.5. The application for approval of oral examination arrangements must also be submitted prior to the expiration of the maximum registration period or the period of write-up. Academic schools will be responsible for ensuring appropriate mechanisms are in place to ensure adherence to this policy.
- 23.6. The application for approval of examination arrangements must be accompanied by the form EXN, one copy of which should be produced for each proposed examiner.
- 23.7. The proposed examiners must fulfil the criteria detailed in Part 9 of the Manual of General Regulations. Former employees and graduates of our University are not eligible to act as external examiners until an interval of at least three years has elapsed.

- 23.8.** Once the examining team has been approved, examination conditions are in effect. As such, no form of contact (e.g. direct submission of the thesis) should occur between the appointed examiners and the student or supervisory team. Where such contact is found to have taken place, the examination may be subject to postponement or cancellation. Such action will be the responsibility of the Director of the Graduate School.
- 23.9.** The Graduate School will have sole responsibility for liaising with appointed examiners following the approval of examination arrangements along with the overall management of the doctoral examinations process.
- 23.10.** The member of staff within the school appointed to oversee the administration of postgraduate research degrees will be responsible for making practical arrangements for the oral examination, including room bookings, travel arrangements, hospitality and payment of any examiner expenses or fees. Where the role of Officer to SRDSC is held by a different member of staff, they will be responsible for confirming final approval of examination arrangements following endorsement by RDS.
- 23.11.** The process of oral examination has two separate phases where, initially; a thesis or other form of submittal is presented to be assessed by an examination team, and; following assessment a recommendation will be made as to whether or not the student should proceed to the oral examination, or *viva voce*.
- 23.12.** The aim of the *viva voce* process is to satisfy the examiners that; the thesis presented by the student is their own original work; that the student has a good command of the subject area; and that the thesis represents an original contribution to knowledge.

24. The thesis

- 24.1.** The submitted thesis must conform to the specifications for presentation detailed in Part 9 of the Manual of General Regulations. Where the submitted thesis does not, it will be returned to the student by the Graduate School.
- 24.2.** Students are not permitted to submit the thesis until the minimum period of registration for the programme, as specified in Part 9 of the Manual of General Regulations, has elapsed, unless prior approval for a reduced period of registration has been obtained from RDS.
- 24.3.** The thesis must adopt the Harvard style of citation and referencing as outlined in the publication *Cite Them Right* (Pears, R. and Shields, G. (2010) *Cite Them Right: The Essential Referencing Guide*. 8th edn. Basingstoke: Palgrave Macmillan).
- 24.4.** The Graduate School will only accept a thesis, in the first instance or following amendments; or other form of submittal for dispatch to the examining team; when it has been submitted, as a whole or in its constituent parts, to Turnitin. The student is required to demonstrate submission to Turnitin by ensuring the submitted thesis is accompanied by either the Turnitin receipt or the first page of the resultant Turnitin originality report.

- 24.5.** The Turnitin report may only be seen by the appointed examiners where there is a suspicion of plagiarism or collusion and where a formal investigation has been initiated using our University's agreed procedures. The Director of Studies should seek advice from the Learning and Teaching Advisors within Schools and advise students and supervisory teams on the institutional policy regarding use of Turnitin for research degree theses.
- 24.6.** The student has responsibility for making arrangements for the production of the thesis and ensuring that the work adheres to the requirements set out in Part 9 of the Manual of General Regulations.
- 24.7.** The thesis must be submitted to The Graduate School at least two months in advance of the date of the oral examination. The student is required to supply one copy for each examiner and one copy for the Chair of Examiners. These copies must be circulated to afford the examiners six weeks reading time as a minimum.

25. The preliminary reports

- 25.1.** The examiners are required to submit preliminary reports on the thesis using Form PGR (A), which will be dispatched along with the thesis. The preliminary reports will establish the recommendation of the examiners that the thesis is of sufficient standard for an oral examination to be carried out.
- 25.2.** The preliminary reports must be received by the Graduate School at least seven days prior to the examination. Copies of all reports will be sent to each examiner and the Chair, along with Form PGR (B) (Form PGR (C) in the event of re-examination) for the Chair to pass to the examiners to complete at the end of the examination. In the event that the preliminary report is not returned seven days prior to the examination, the Director of the Graduate School will be responsible for notifying the relevant school that the oral examination must be postponed.

26. Chair of examiners

- 26.1.** Although required to be present at the oral examination, the Chair of Examiners has no direct participation in the assessment of the thesis or other form of submittal or oral examination. The Chair will receive copies of the preliminary reports prepared by the examiners in advance of the oral examination. These are provided for information only, to assist the Chair in answering queries from the examiners about matters of process: the Chair is not expected to be a subject area specialist in the field being examined or to answer questions or give opinions about the standard of the thesis or other form of submittal.
- 26.2.** The involvement of the Chair does not begin until the oral examination itself, but it is necessary that the Chair has a clear understanding of the process leading up to the oral examination and the respective responsibilities of others involved. The Chair will receive copies of all relevant correspondence relating to the examination from the point at which the examination arrangements are approved.

27. Conducting the examination

- 27.1.** The examiners should convene for a short time before the oral examination in order to discuss their preliminary reports and the questions they wish to put forward. The Chair should ensure that no other parties are present at this meeting.
- 27.2.** The student may give a short presentation at the outset of the oral examination if they wish. The Chair and examiners should be notified where the student has an intention to do so before the day of the examination.
- 27.3.** Once the examiners are prepared, the Chair will ask the student to join them and open the proceedings. Members of the supervisory team may also attend where the student has specifically requested their presence. Members of the supervisory team must not attend the oral examination without specific prior request from the student. Where supervisors are present for the examination, they must not contribute to the defence of the thesis or participate in the exercising of academic judgement by the examiners. No other persons may attend the examination.
- 27.4.** The length of the oral examination will vary according to the individual nature of the work being assessed. The student should normally expect to undergo a mock oral examination as part of the final annual review meeting. The Chair of the examination has overall responsibility for ensuring the examination is not overly long.
- 27.5.** Examiners are required to reserve judgement until after the oral examination and must ensure the student is given a fair opportunity to present an oral defence of the thesis or other form of submittal and demonstrate their academic ability. Care should be taken to ensure that the student is not disadvantaged by being given the impression that the examiners have already arrived at a decision prior to the *viva voce*, especially in cases where the likelihood is that the outcome will not be favourable to the student.
- 27.6.** Both the student and, where present, the supervisor(s) must withdraw prior to the deliberations of the examiners on the outcome of the examination.

28. Outcomes of the Examination

- 28.1.** The outcomes permissible for an oral examination of a postgraduate research degree are detailed in Part 9 of the Manual of General Regulations. In the event that the recommendation is for minor or substantial amendments to be made to the thesis, the Graduate School will communicate the examiners' recommendation to the student and Director of Studies along with a report detailing the amendments. The Chair of examiners will be responsible for ensuring one of the examiners is appointed to produce the report which details the amendments deemed necessary.
- 28.2.** Following the oral examination, the examiners must, where they are in agreement, present a joint report and recommendation relating to the award of the degree to our University. The Chair will supply the appropriate form – Form PGR (B) (Form PGR (C) in the event of re-examination). In cases where there is a difference of opinion between examiners, each examiner must complete a separate form.
- 28.3.** The Chair should submit the completed form(s) to the Graduate School immediately following the conclusion of the examiners' deliberations on the outcome of the oral examination.

- 28.4.** The preliminary reports and joint recommendation of the examiners must together provide sufficiently detailed comments on the scope and quality of the work to enable our University to satisfy itself that the criteria for the award of the degree has been met. Examiners may informally indicate their recommendation on the result of the examination to the student during the viva, but must make it clear that the final decision to award the degree rests with our University.
- 28.5.** Where the examiners require revisions to be made to a thesis it may not be practical to draft the report on required amendments immediately following the oral examination. In such cases, it is reasonable for the examiners to be given time to prepare their notes, but the Chair must ensure that form PGR (B) is completed and returned to the Graduate School immediately after the oral examination. The examiners should indicate on form PGR (B) that the report on required amendments will follow on.
- 28.6.** Where amendments to the thesis are required, the report detailing the revisions must be submitted to the Graduate School no later than ten working days from the date of the oral examination.
- 28.7.** The Graduate School, following receipt of form PGR (B) detailing the outcome of the oral examination and accompanying report detailing any amendments deemed necessary, will inform the student of the deadline for submission of the revised thesis.
- 28.8.** The Chair of examiners will be responsible for ensuring, via form PGR (B), that one of the examiners is nominated to review the revised thesis and confirm that the required amendments have been successfully completed.
- 28.9.** Where a thesis is submitted with minor amendments to the examiner(s), this is not a re-examination. In such cases, the only permissible outcomes are for the examiner(s):
- 28.9.1.** to confirm that the minor amendments have been made to their satisfaction;
 - 28.9.2.** to indicate that they have not been made. The examiners in such a situation cannot issue further or subsequent guidance to a candidate regarding amendments or adjustments to the thesis, nor can they request that a subsequent viva occur as the recommendation is that the award be made subject to minor revisions to the text.
- 28.10.** Where the revisions to the thesis do not require a second oral examination, the nominated examiner(s) are responsible for providing confirmation to the Graduate School in writing by signing the provided declaration indicating that the student has satisfactorily completed the requested amendments in the allotted time and that they are satisfied that the student has fulfilled all the obligations placed upon them.
- 28.11.** Where the revisions to the thesis do require a second oral examination, the member of staff within the school appointed to handle the administration of postgraduate research degrees will be responsible for making the practical arrangements and informing the Graduate School of the agreed date and time.

29. Feedback mechanisms

- 29.1.** All Schools will have in place formal and informal procedures for gaining feedback from students concerning the quality of their learning experience. In addition, the University will regularly review findings from participation in student experience surveys, such as the Postgraduate Research Experience Survey (PRES), and report back to relevant institutional committees, such as RDS and Academic Board.

- 29.2.** Academic schools and HE providers in partnership with our University may also put in place independent feedback surveys on student experience. Where such surveys are put in place, SRDSC will be responsible for conducting analysis of the findings and, where necessary, reporting to RDS.

30. Complaints and Appeals

- 30.1.** Our University has formal procedures for complaints and appeals but students are advised to seek resolution over any problems, in the first instance, through informal channels.
- 30.2.** Where a student wishes to have an informal discussion with an independent individual outside of the school, they should contact a UELSU Student Union officer. The formal procedures for a complaint can be found in Part 14 and for an appeal may be found in Part 9 of the Manual of General Regulations.

31. Academic Misconduct

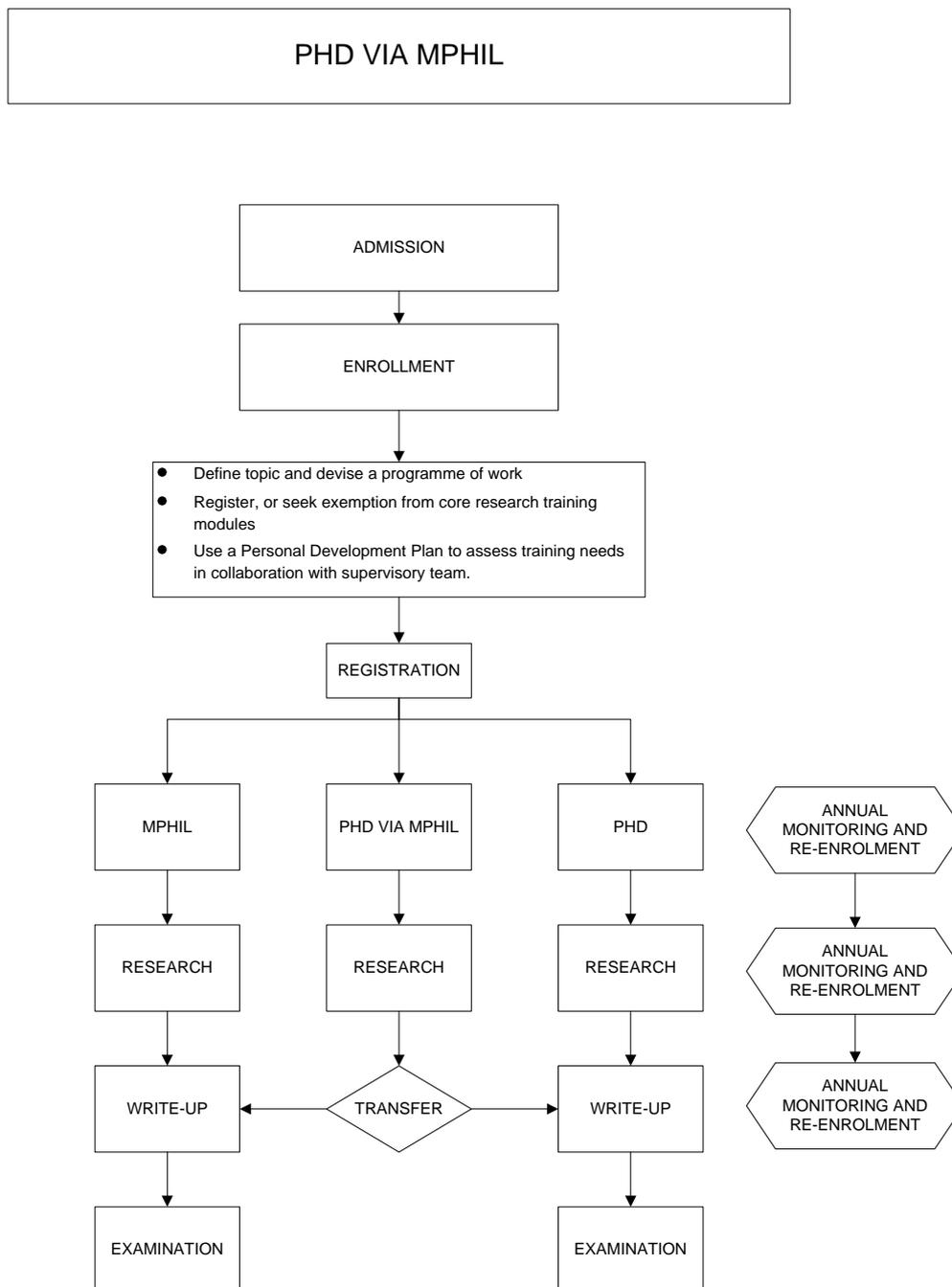
- 31.1.** Our University is committed to academic integrity and will take firm action against any student who breaches these regulations. More specific information on the Academic Misconduct Regulations can be found in Part 8 of the Manual of General Regulations.

32. Research Misconduct

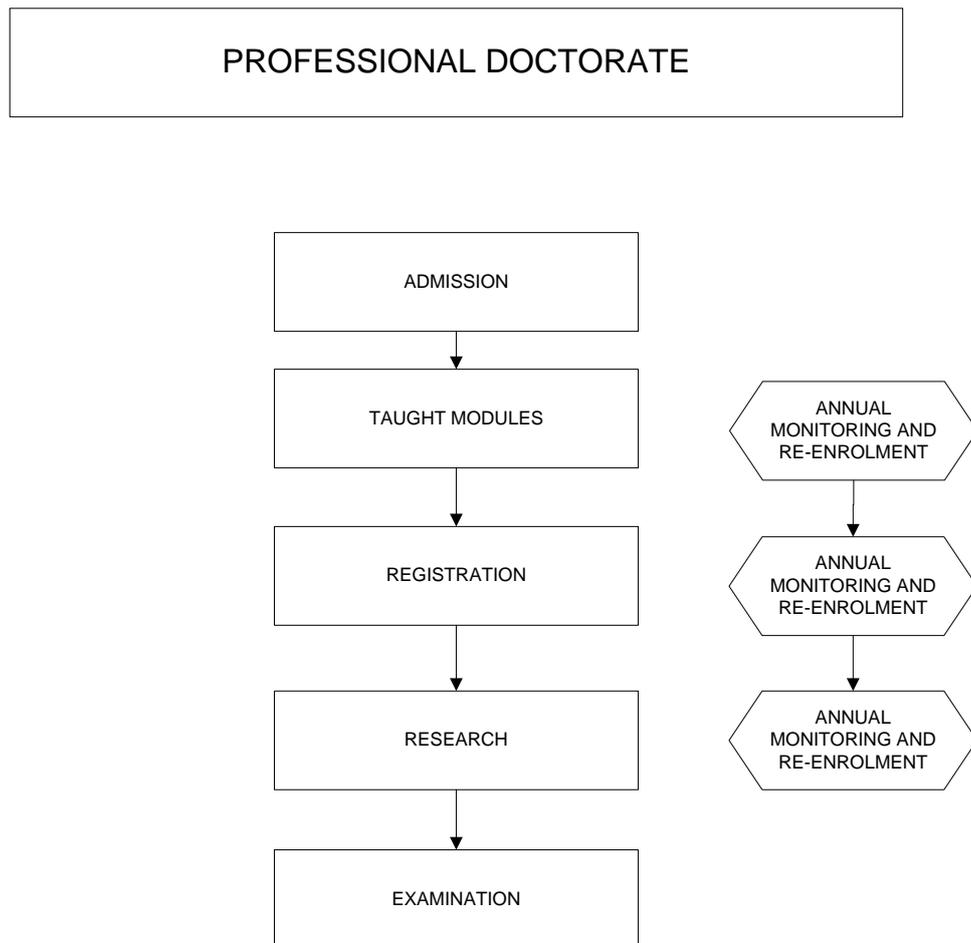
- 32.1.** The quality of our University's research output is core to our institutional strategy and reputational standing. As such, UEL will take appropriate disciplinary action in all proven cases of research misconduct. Where human participants, human data or human material are used for the purposes of research within our University, adherence to the standards set out in the Code of Practice for Research Ethics is mandatory.

APPENDIX

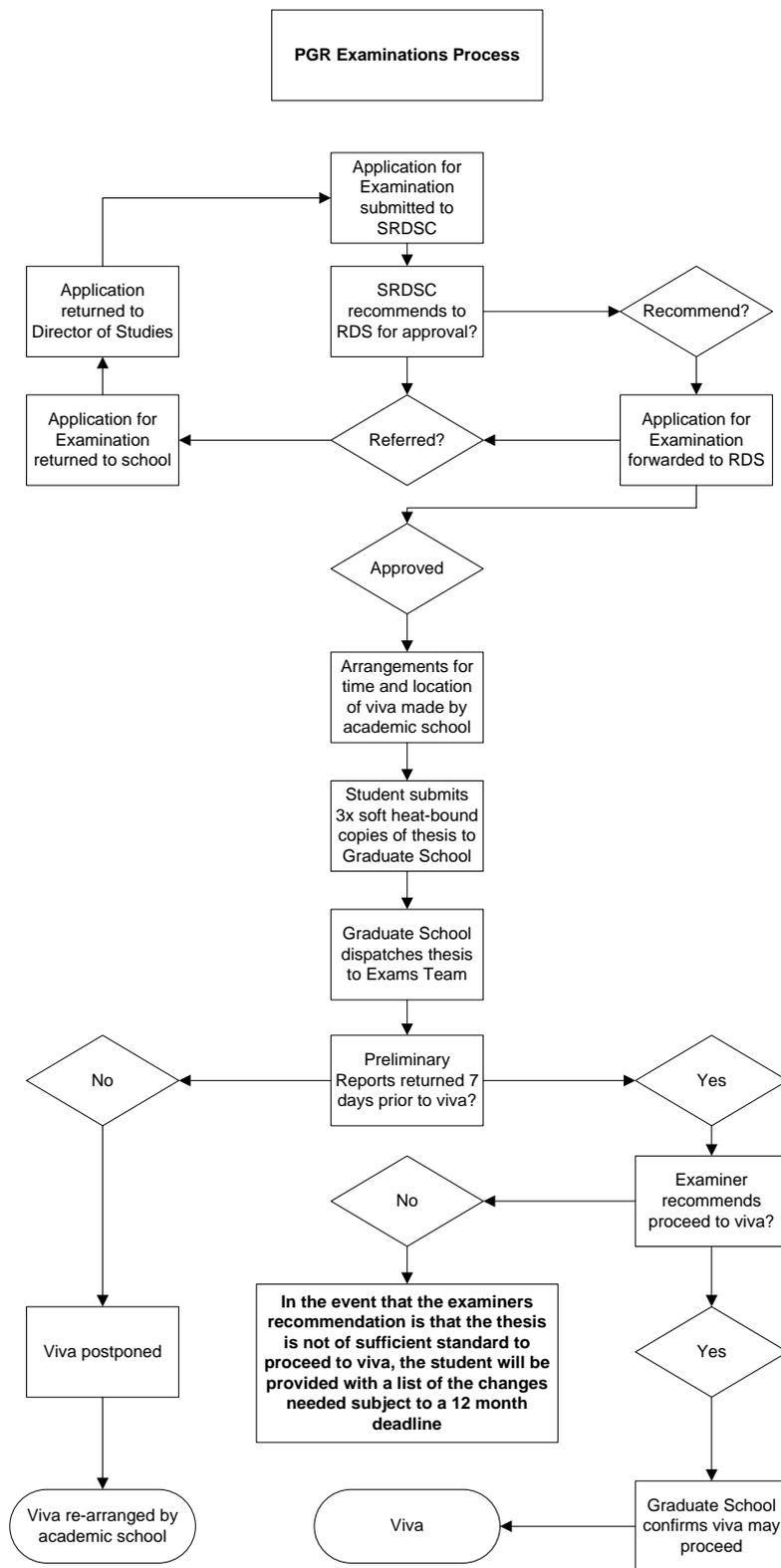
I. Process map – PhD via MPhil



II. Process map – professional doctorate



III. Process map – oral examination (viva voce)



IV. Process map – amendments and conferral

