

LTC15D203

Title: Revised Instructions to Examiners for the degrees of Masters by Research, MPhil, PhD, PhD by Publication, EdD and MEd
Author: Melanie Steele, Quality & Information Manager, PGR Service
Date: 27 June 2016
Circulation: Learning and Teaching Committee – 6 July 2016
Agenda: LTC15A007
Version: Final
Status: Open

Issue

To consider the revisions proposed to the Instructions to Examiners for the Masters by Research, MPhil and PhD to incorporate the degrees of PhD by Publication, EdD and MEd.

Recommendation

Recipients are invited:

to consider and approve the attached revisions to:

- 1) The combined Instructions to Examiners for the degrees of Master of Philosophy, Doctor of Philosophy, Doctor of Philosophy by Publication, Master of Arts by Research, Master of Laws by Research, Master of Music by Research, Master of Science by Research, Doctor of Education and Master of Education
- 2) The Regulations for the degrees of Doctor of Education and Master of Education

Resource Implications

No significant resource implications are anticipated although the operation of the revised Instructions to Examiners will require the drafting of new Examiners Report Forms.

Risk Implications

There are no material risks to the University associated with the approval of these amendments. The combined Instructions to Examiner will help provide greater consistency in practice across the research degrees.

Equality and Diversity

It is not envisaged that any of the recommendations contained in the report will impact detrimentally on groups with protected characteristics.

Timing of decisions

Approval by LTC at its July meeting would allow the regulatory and other amendments to be enacted and in place for the 2016-17 academic year.

Further Information

Please contact Melanie Steele, x3870 m.steele@uea.ac.uk for enquiries about the content of the paper.

Background

The PGR Executive approved at its meeting on 15 June 2016 revisions to the Instructions to Examiners for the degrees of Master of Philosophy, Doctor of Philosophy and Masters by Research, to incorporate the degrees of Doctor / Master of Education and the PhD by Publication into the combined Instructions to bring them more in line with the PhD.

The main changes to the Instructions to Examiners are as follows:

1. Addition of Instruction 5 stating that the term 'thesis' also includes the body of published work, dossier of practical work etc.
2. Criteria for the awards of research degrees section removed – as these are verbatim in the Regulations. There are also contained in the Examiners' Report Forms.
3. Recommendations available to examiners for the degrees concerned moved to Appendix A – this section was becoming overly long and making the main content of the Instructions hard to navigate. Additional degrees can then be added to the Appendices if needed.
4. Incorporation of the PhD by Publication into the Instructions
 - To bring the PhD by Publication more in line with the PhD
 - Corrections to the critical analysis have been simplified from 6 weeks (minor corrections) and 1 week (limited corrections) to a single category of 3 months in line with the Masters by Research
 - An additional recommendation has been added – resubmission of the critical analysis (with same publications) within 6 months. This reflects practice at other HEIs and is in line with the resubmission period for the Masters by Research.
5. Incorporation of the EdD and MEd into the Instructions
 - To bring these degrees more in line with processes for the PhD
 - Corrections for the EdD have been simplified from 3 months and 6 weeks to a single Minor Corrections category of 6 months in line with the PhD (at the request of Course Director)
 - Corrections for MEd have been simplified from 6 weeks and 1 weeks to single minor corrections category of 3 months in line with the MPhil (in line with the above)
 - EdD - removal of the option to resubmit for the MEd within 6 months where substantive amendments required, in the same way that the option to resubmit within 6 months for the MPhil was removed from the PhD recommendations
 - Option removed for a candidate who has failed to satisfy the examiners in the oral examination to be allowed to take a second oral examination within six months, in line with PhD recommendations
 - Instructions 1 to 5 of the current EdD Instructions to Examiners (year assessment and progression) moved to Appendix B of these Instructions

In incorporating the PhD by Publication, Doctor of Education and Master of Education into these Instructions the following changes to process for these degrees will take place from 2016-17:

1. Two independent reports to be submitted by the examiners before the viva.
2. A joint report with an agreed recommendation to be submitted by the examiners after the viva.
3. The role of the Internal Adviser to be removed from the viva process, with any advice required by the examiners before the viva to be provided by the School/Institute Director of Postgraduate Research

4. The appointment of an independent Chair where the two examiners are external to the University and/or where an external examiner is not present in the room (video link).
5. Vivas by videoconference to be permitted in exceptional circumstances but only if the candidate gives their explicit, written agreement.
6. An electronic copy of the thesis to be sent to examiners by default, along with a soft bound copy if requested by the examiner(s) on appointment.
7. A reduction in the range of recommendations available to examiners for the EdD and MEd.
8. A second oral examination on a first submission to be an option available only via a concession from the Director of Research Degree Programmes.

Corresponding revisions have been made to the Regulations for the EdD and MEd to reflect these changes. The Regulations for the degree of Doctor of Philosophy by Publication will also need revision to bring them in line with the other research degrees.

Attachments

- Appendix 1 Revised Instructions to Examiners for the Degrees of Doctor of Philosophy (PhD), Doctor of Philosophy by Publication, Master of Philosophy (MPhil), Master of Arts by Research, Master of Laws by Research, Master of Music by Research, Master of Science by Research, Doctor of Education and Master of Education
- Appendix 2 Revised Regulations for the Degrees of Doctor of Education and Master of Education – extract showing section changed



Instructions to Examiners for the Degrees of Doctor of Philosophy (PhD), Doctor of Philosophy by Publication, Master of Philosophy (MPhil), Master of Arts by Research, Master of Laws by Research, Master of Music by Research, Master of Science by Research, Doctor of Education and Master of Education

General Provisions

1. These Instructions are to be read in conjunction with the Regulations for the degree concerned.
2. Alterations to these Instructions may be made in line with any changes to the Regulations and only with the approval of the Postgraduate Research Executive (acting with authority delegated from the Learning and Teaching Committee of the Senate).
3. In all cases the Head of School or School / Institute Director of Postgraduate Research may act on behalf of the Board of the School.

In all cases the Academic Director of Research Degree Programmes or Faculty Associate Dean (Postgraduate Research) may act on behalf of the Postgraduate Research Executive.

In all cases the Head of the Postgraduate Research Service or their nominee acts on behalf of the Registrar and Secretary.

4. In these Instructions, Head of School should be taken to refer also to the Chair of the Norwich Bioscience Institutes Graduate School Executive for candidates based in the John Innes Centre, The Sainsbury Laboratory, The Genome Analysis Centre or Institute of Food Research.
5. In all cases references to the thesis should also be taken to refer to the portfolio of published work, dossier of practical work, translation and/or accompanying written commentary or critical analysis unless otherwise indicated in these Instructions.

Role and Responsibilities of the examiners

6. Each candidate will be examined by two or more examiners approved by the Faculty Associate Dean (Postgraduate Research) (or Academic Director of Research Degree Programmes for Category A students), at least one of whom shall be an External Examiner. (In the case of Category A students all the examiners shall be external and an Independent Chair will be appointed.)

7. The examiners shall:
- participate in the oral examination of the thesis
 - each prepare and submit an independent preliminary report form to the Postgraduate Research Service at least five working days prior to the date of oral examination
 - meet prior to the oral examination to discuss the preliminary reports and to decide upon areas for discussion and any areas where clarification should be sought
 - prepare and submit a joint final report on the thesis and the oral examination, which should also detail recommendations for the award of the degree or referral for revision and/or resubmission
 - where a thesis is being referred back to the candidate for corrections or resubmission, liaise with the other examiner(s) to draw up a single agreed list of corrections or areas for revision
 - The examiners may seek guidance and advice on regulatory and procedural matters from the School / Institute Director of Postgraduate Research, who will be available to brief the examiner(s) and respond to queries prior to the oral examination

8. The External Examiner(s)

The External Examiner(s) shall:

- undertake duties as described in the University of East Anglia's Code of Practice for the External Examiners' System for Research Awards at UEA (Research Degree Policy Documents Section 8)

9. The Internal Examiner(s) shall in addition:

- liaise with the External Examiner to arrange the date, time and location of the oral examination
- inform the candidate of the date, time and location of the oral examination
- notify the Postgraduate Research Service of the date, time and location of the oral examination
- act as Chair for the oral examination
- liaise with the Primary Supervisor to clarify any issues arising from the formal report, requirements for corrections or recommendations for revision of the thesis

Where only External Examiners have been appointed the Independent Chair will undertake certain responsibilities of the Internal Examiner as indicated in these Instructions.

10. The Independent Chair (where appointed to participate in an oral examination under the provisions of Instructions 6, 16 and 32) shall:
- in the case of an examination conducted exclusively by External Examiners, take on the role and responsibilities of the Internal Examiner in respect of coordinating the arrangements for the oral examination of the thesis as set out in Instruction 9 above
 - in the case of an examination conducted exclusively by External Examiners, liaise with the Primary Supervisor and the External Examiners to clarify any issues arising from the formal report, requirements for corrections or recommendations for revision of the thesis
 - attend and remain present for the duration of the oral examination, as well as the post-examination decision making but not participate in the questioning of the candidate or the decision making itself
 - act on behalf of the University in ensuring that the examiners are aware of, and adhere to, the University's regulations and procedures
 - produce a brief report after the oral examination, confirming that they are satisfied that the oral examination has been conducted fairly and according to University procedure

Further guidance on the role and responsibilities of the Independent Chair are set out in Section 9 of the Research Degree Policy Documents: The Role of the Independent Chair.

11. Where an examiner suspects that there may have been plagiarism, collusion or any other form of malpractice, the examination process must be suspended whilst the University's Procedures for Dealing with Allegations of Misconduct in Research are pursued. Advice should be sought as soon as is practicable from the Head of the Postgraduate Research Service or their nominee.

Criteria for the awards of research degrees

12. The criteria for the awards of research degrees at the University of East Anglia are specified in the Regulations for each degree (available from the Postgraduate Research Service or online at www.uea.ac.uk/calendar). These requirements should be read carefully before assessment of the thesis.

The Oral Examination

13. There shall be an oral examination of the thesis, except where the provisions in the Regulations, Section 7 (Examination) and Instruction 52 are invoked.
14. The oral examination shall normally be held within three months of the submission of the thesis.
15. The oral examination should be held in Norwich. The School / Institute Director of Postgraduate Research may permit, in exceptional circumstances, with the agreement of the candidate and examiners, the oral examination to be held at

another location with all parties present.

16. In exceptional circumstances the Faculty Associate Dean (Postgraduate Research) may agree to an oral examination by video-conference. The agreement of the candidate to this arrangement must be given. Where an oral examination is held via video-conference an Independent Chair will be appointed, who will be responsible for taking all reasonable steps to ensure that the candidate is not disadvantaged in any way compared to the normal situation of a face-to-face oral examination.
17. Supervisors will not normally be permitted to attend the oral examination. However it is good practice to invite the Primary Supervisor to attend when the examiners communicate their recommendation to the candidate to ensure that both the supervisor and the candidate have a clear understanding of any amendments specified by the examiners.
18. An electronic copy of the submitted thesis will be sent to examiners for oral examination purposes, unless a soft-bound copy is requested at the time of appointment. For the degrees of PhD by Publication and the Professional Practice programmes in the School of Art, Media and American Studies, copies of all published or practical work to be assessed must also be included in the submission, either incorporated in the thesis or separately contained. The candidate should bring a soft-bound copy of the thesis to the oral examination for reference during the discussions. The examiners shall return any soft-bound copies of the thesis to the Postgraduate Research Service after the oral examination, from which the candidate will collect them.
19. During the oral examination of the thesis the examiners shall question the candidate on the thesis and subjects related to it so as to further test the candidate with reference to the criteria for the award of the degree set out in the Regulations and in Appendix A.
20. Where the examiners agree on their recommendation they should communicate the outcome to the candidate (and Primary Supervisor if present) at the end of the oral examination, although emphasising that this is subject to confirmation by the University. If, for whatever reason, this is not possible they should indicate to the candidate when he/she will be notified.

The Examiners' Reports

Preliminary reports

21. Prior to the oral examination the examiners shall each prepare independent preliminary reports, using the pro-forma supplied by the Postgraduate Research Service. The report should be sent to the Postgraduate Research Service, at least five working days prior to the oral examination taking place, so that the reports can be circulated between all the examiners (and the Independent Chair, where appointed). It is responsibility of the Internal Examiner to ensure that the preliminary reports have been considered by all examiners prior to the oral examination.
22. The report shall comment on the following:
 - the examiner's preliminary view of the candidate's performance as

- evidenced in the thesis, highlighting any particular strengths and any areas of concern
- the major issues which the examiner wishes to explore in the oral examination. This will not preclude the examiner raising additional issues during the course of the oral examination
 - a **provisional** recommendation based on the options set out in Appendix A. Where the examiner is unable to make a provisional recommendation this should be noted on the report pro-forma
23. Independent preliminary reports are required both when a thesis is first examined and also when a resubmitted thesis is assessed by the examiners, whether or not a second oral examination is to take place.
24. The independent preliminary reports will not be automatically released to the candidate and the supervisory team. The reports will be made available, if specifically requested by the candidate as part of an Academic Appeal or Complaint, once the examination process has been completed i.e. when the candidate has been formally notified by the Postgraduate Research Service of the outcome of the examination. In all other instances, the preliminary reports will be made available to the candidate in response to a request made under the Data Protection Act.

Final report

25. Following the oral examination the examiners shall complete a joint report, using the pro-forma supplied by the Postgraduate Research Service. In the exceptional circumstances of a failure to reach agreement in the recommendation and report, the examiners should submit separate independent final reports. **The joint report should normally be completed on the day of the oral examination.** Any variance of opinion concerning the award between preliminary reports and the final report(s) must be explained in the latter.
26. The examiners shall submit their final report to the Postgraduate Research Service (together with any additional information, such as details of corrections or revisions, as set out in Instructions 41-49) within 10 working days after the oral examination. The Postgraduate Research Service will send the reports to the School / Institute Director of Postgraduate Research for action in accordance with Instructions 33 - 34.
27. The report shall comment on the following:
- the candidate's performance as evidenced in the thesis and the oral examination
 - recommendation as set out in Appendix A
 - any additional comments, which may include comparability against standards in other research-led universities

The report should be detailed enough to provide the Head of School or nominee with sufficient information, to make their own assessment of the merits of the thesis.

The final joint examiners' report will be made available to the candidate and the supervisory team.

If an examiner has comments of a more general nature such as those relating to procedure or academic standards these can be addressed under separate cover to the Head of School or the Academic Director of Research Degree Programmes.

Recommendations available to the examiners

28. Following the oral examination for the degree concerned the examiners shall conclude the report by selecting one of the specific recommendations listed on the Examiners' Report Form. The recommendations available to examiners for each degree are detailed in Appendix A.

Resolving Disagreement

29. Where the examiners cannot agree on the recommendation or on the extent of the work required to bring a thesis to a passing standard the examiners shall refer the matter to the Head of School.
30. The Head of School or their nominee (who shall normally be the School/Institute Director of Postgraduate Research) shall seek to establish consensus between the examiners.
31. If consensus cannot be achieved, the Head of School or their nominee shall consider the contents of the individual examiner's reports and form a view as to whether there is sufficient evidence within the reports on which to base a recommendation to the Head of the Postgraduate Research Service or guidance to the candidate on the work that needs to be done.
32. Where consensus cannot be achieved and where the Head of School or their nominee feels that they have insufficient evidence upon which to make a recommendation to the Head of the Postgraduate Research Service, they shall recommend to the Academic Director of Research Degree Programmes the appointment of an additional External Examiner in accordance with the Regulations, Section 7 (Examination).

Where an additional External Examiner is appointed to conduct a further examination of the candidate under the Regulations, Section 7 (Examination), the additional External Examiner and an Independent Chair shall be present at the examination.

Action by Head of School or their nominee

33. On receipt of the examiners' report, the School/Institute Director of Postgraduate Research will consider the contents of the report and the recommendation of the examiners and

either

endorse the recommendation on behalf of the Head of School and return the endorsed reports to the Postgraduate Research Service

or

take action as set out in Instruction 34.

34. Where the examiners are agreed in their recommendation, but where the Head of School or their nominee has reason to question the recommendation, for example if there has been apparent procedural irregularity or where the recommendation does not correspond with the contents of the final report, the Head of School or their nominee shall decide whether
- to seek further clarification from the examiners; or
 - refer the matter to the examiners for reconsideration on the basis of concerns which shall be set out in writing to the examiners; or
 - decide whether the opinion of a further External Examiner is required
35. Where the Head of School or their nominee decides that they require the appointment of an additional External Examiner to inform their decision, a case shall be put to the Academic Director of Research Degree Programmes.
36. If the Academic Director of Research Degree Programmes concurs with the recommendation that the opinion of an additional External Examiner is required, the additional External Examiner shall be provided with a copy of the thesis and may at their discretion require the candidate to attend for a further oral examination of the thesis and topics associated with it.

The additional External Examiner will submit an independent formal report to the Head of School or their nominee as set out in Instructions 25-27.

The report from the additional examiner shall be considered by the Head of School or their nominee together with the report of the original examiners.

The reports of all the examiners, together with the comments and recommendations of the Head of School or their nominee shall be submitted to the Academic Director of Research Degree Programmes for decision.

37. On receipt of the endorsed examiners' reports the Postgraduate Research Service shall send a copy to the candidate and the Primary Supervisor.

Action by the Head of the Postgraduate Research Service or their nominee

38. On receipt of the endorsed examiners' report, the Head of the Postgraduate Research Service or their nominee will notify the candidate in writing of the decision, enclosing a copy of the examiners' report and, where applicable, a deadline for completion of any corrections or submission of a revised thesis.
39. Where the examiners and the Head of School or their nominee agree that the candidate be approved for the degree awarded, the Head of the Postgraduate Research Service or their nominee will write to the candidate requesting that they submit one hard bound and one electronic copy of the thesis. Once the hard bound and electronic copy of the thesis have been received, the result

shall be published and the candidate informed by a letter from the Head of the Postgraduate Research Service or their nominee;

40. If the examiners and the Head of School or their nominee agree that the candidate be approved for the degree, subject to minor corrections, the Head of the Postgraduate Research Service or their nominee shall await written confirmation from the nominated examiner that the required corrections have been satisfactorily completed and will then write to the candidate requesting that they submit one hard bound and one electronic copy of the thesis. Once the hard bound and electronic copy of the thesis have been received, the result shall be published and the candidate informed by a letter from the Head of the Postgraduate Research Service or their nominee;

Minor Corrections

41. Minor corrections may take the form of
- (i) the correction of typographical, spelling and grammatical errors or
 - (ii) limited revisions of material in the thesis that the examiners specify in detail and which in their judgement is necessary for the thesis to reach an acceptable standard. This can include omissions (for example, in the literature review), rewriting of paragraphs or chapters and other improvements which do not materially alter the conclusions or conceptual framework of the thesis.
42. The examiners must be agreed that the candidate will be able to achieve the amendments within six months of notification for the PhD or within three months for the MPhil and Masters by Research, without the need of a further oral examination. Minor corrections should not entail a significant amount of further research or analysis; alterations of a more substantial nature will require resubmission of the thesis. For the degree of PhD by Publication the examiners may require minor corrections to the critical analysis within three months of notification (the published works should not be altered).
43. Where the candidate is required to complete minor corrections, the examiners should provide the Postgraduate Research Service with an agreed list of the corrections to be made, within ten working days of the oral examination. Examiners should ensure that corrections specified within the copy of the thesis are limited to typographical errors or omissions.

The Postgraduate Research Service shall communicate the list of corrections to the candidate and Primary Supervisor. It is the responsibility of the Primary Supervisor to ensure that the candidate understands the work to be done and to seek clarification on any areas of uncertainty with the examiners.

The candidate shall submit the corrected thesis in electronic format to the Postgraduate Research Service, who will send the thesis to the Internal Examiner. The Internal Examiner will review the thesis and be responsible for confirming in writing to the Postgraduate Research Service that the required corrections have been completed to their satisfaction, and therefore that the pass list may be issued.

In the case of an examination conducted exclusively by External Examiners, the examiners shall decide which examiner will be responsible for reviewing the thesis and confirming to the Postgraduate Research Service that the minor corrections have been completed. The name of the chosen examiner shall be entered onto the Examiners' Report Form.

Once confirmation that the minor corrections have been completed has been received by the Head of the Postgraduate Research Service or their nominee, they will write to the candidate to ask them to submit two copies of the thesis in accordance with rules approved by the Senate. Once the hard bound and electronic copy of the thesis have been received, the result shall be published and the candidate informed by a letter from the Head of the Postgraduate Research Service or their nominee;

Resubmission

44. Where a thesis has been resubmitted in accordance with Appendix A the revised thesis shall be sent to the original examiners.
45. The examiners, having read the revised thesis, shall confer and decide whether or not they require the candidate to undergo a further oral examination as set out in the Regulations, Section 7 (Examination). A further oral examination should be held where one or both of the examiners deem this to be necessary to the examination process or if the examiners are considering either a recommendation not to award a research degree (fail) or a recommendation to award a lower degree.
46. If a further oral examination is required, the Internal Examiner (or Independent Chair in the case of a candidate being examined exclusively by External Examiners) shall liaise with the other examiner(s) to arrange the examination, which should take place within three months of the date of resubmission.
47. The procedures for the examination of a resubmitted thesis are essentially the same as for the initial submission of the work and independent reports and a joint report are required as set out in Instructions 21-27. The oral examination will be conducted in accordance with Instructions 13-20.
48. The examiners shall conclude the final report with one of the specific recommendations set out in Appendix A, noting that further resubmission is not permitted.

The examiners should submit their final report to the Postgraduate Research Service (together with any additional information as set out in Instructions 41-49) within ten working days after the oral examination or, where an oral examination is not required, once the examiners have decided upon their recommendation.

The examiners shall return any soft-bound copies of the thesis to the Postgraduate Research Service, from which the candidate will collect them.

The Postgraduate Research Service will send the report to the Head of School for action in accordance with Instructions 33-34.

49. If the examiners do not agree on the outcome of the examination of the revised thesis the Examiners and Head of School shall act in accordance with

Support for postgraduate research degree candidates with disabilities

50. Postgraduate research degree candidates with disabilities, and their supervisors and examiners, can access a wide range of support from the Disability Team in the Dean of Students Office (www.uea.ac.uk/services/students/disability).

Information on any reasonable adjustments should be made available to the examiners following discussions between the candidate, the supervisory team and the University's Disability Team. The Internal Examiner has responsibility for facilitating on the day any reasonable adjustments to the oral examination, which will have been agreed upon in advance. These arrangements ensure that reasonable adjustments are made to the oral examination so that postgraduate research candidates with disabilities are not disadvantaged by the process for examination. Examiners should continue to make their recommendations based on satisfactory evidence of fulfilment of the criteria set out in Appendix A.

Extenuating Circumstances

51. The candidate and / or the Primary Supervisor may bring to the attention of the examiners any factors which may have affected the conduct of the research project, the preparation of the thesis or performance in the oral examination and which may assist the examiners in the performance of their duties. This information should be communicated via completion of the relevant section of the Degree Entry form, which will be sent to the examiners with the copy of the thesis where relevant.

However, the examiners should make their recommendations based on satisfactory evidence of fulfilment of the criteria set out in Appendix A and are therefore limited in the degree to which extenuating circumstances may be compensated for.

52. In exceptional circumstances where there is satisfactory evidence that the candidate would be unable to attend an oral examination or where attendance at the oral examination would involve great hardship to the candidate or where unforeseen circumstances prevent a scheduled oral examination from taking place and to reschedule the oral examination is not practicable, the requirement for an oral examination may be waived or a written examination substituted for the oral examination. In such circumstances the Internal Examiner should contact the Postgraduate Research Service as soon as the circumstances present themselves to seek advice.

Where the requirement for an oral examination of the thesis is to be waived or a written examination substituted for an oral examination, the Head of the candidate's School of Study shall seek the approval of the Academic Director of Research Degree Programmes.

Appendix A

Recommendations available to the examiners

PhD candidates

1. Following the oral examination for a PhD degree the examiners shall conclude the report by selecting one of the specific recommendations listed on the Examiners' Report Form:

- (i) that the candidate has achieved the criteria for the award of a PhD and should be awarded the degree of PhD; (any minor typographical errors detected by the examiners should be corrected before the thesis is hard bound and an electronic copy deposited in the Library).
- (ii) that the candidate has achieved the criteria for the award of a PhD and should be awarded the degree of PhD subject to the completion of minor corrections to the thesis to the satisfaction of the nominated examiner (as set out in Instructions 41-43). The deadline for completion of the minor corrections shall normally be six months from the date of notification to the candidate by the Postgraduate Research Service;
- (iii) ***First submission only (not available at resubmission)***: that the thesis in its current form does not demonstrate achievement of the criteria for the award of a PhD, but that there is a reasonable basis for believing that the thesis could meet the requirements for the award of a PhD if additional time (12 months) were to be given to revising the thesis.

Where the thesis currently demonstrates achievement of the criteria for the award of an MPhil the candidate will be given the option of submitting a revised thesis for the PhD **or** of being recommended for the award of the MPhil (with or without minor corrections). A candidate who is given this option shall be allowed a period of not more than ten working days from receipt of formal notification of the outcome of the examination to decide which of these alternatives to accept.

If a candidate opts to revise the thesis, this shall be by a stated deadline, which will normally be 12 months from notification of the result by the Postgraduate Research Service;

- (iv) that the candidate has not achieved the criteria for the award of a PhD but the candidate has achieved the criteria for the award of an MPhil and should be awarded an MPhil (any minor typographical errors detected by the examiners should be corrected before the thesis is hard bound and an electronic copy deposited in the Library).

OR

that the candidate has not achieved the criteria for the award of a PhD, but has achieved the criteria for the award of an MPhil and should be awarded an MPhil subject to the completion of minor corrections to the satisfaction of the nominated examiner. The deadline for completion of the corrections will normally be three months from notification of the

result by the Postgraduate Research Service in the case of minor corrections;

For a first submission there should be no reasonable basis for believing that the thesis could meet the requirements for the award of a PhD if additional time were to be given to revising the thesis;

- (v) that the candidate has not met the criteria for the award of a PhD or MPhil and therefore should not be given an opportunity to submit a revised thesis.

For a first submission there should be no reasonable basis for believing that the thesis could meet the requirements for the award of a PhD or MPhil if additional time were to be given to revising the thesis;

PhD by Publication candidates

- 2. Following the oral examination for a PhD by Publication degree the examiners shall conclude the report by selecting one of the specific recommendations listed on the Examiners' Report Form:

- (i) that the candidate has achieved the criteria for the award of a PhD by Publication and should be awarded the degree of PhD by Publication; (any minor typographical errors detected in the critical analysis by the examiners should be corrected before the thesis is hard bound and an electronic copy deposited in the Library. The published works should not be altered).
- (ii) that the candidate has achieved the criteria for the award of a PhD by Publication and should be awarded the degree of PhD by Publication subject to the completion of minor corrections to the critical analysis to the satisfaction of the nominated examiner (as set out in Instructions 41-43). The deadline for completion of the minor corrections shall normally be three months from the date of notification to the candidate by the Postgraduate Research Service;
- (iii) ***First submission only (not available at resubmission)***: that the submission in its current form does not demonstrate achievement of the criteria for the award of a PhD by Publication, but that there is a reasonable basis for believing that the submission could meet the requirements for the award of a PhD by Publication if the candidate be permitted to resubmit the critical appraisal, supported by the same publications.

If a candidate is permitted to resubmit the critical appraisal, with the same publications, this shall be by a stated deadline, which will normally be 6 months from notification of the result by the Postgraduate Research Service;

- (iv) ***First submission only (not available at resubmission)***: that the submission in its current form does not demonstrate achievement of the criteria for the award of a PhD by Publication, but that there is a reasonable basis for believing that the submission could meet the requirements for the award of a PhD by Publication if the candidate be

permitted to resubmit the critical appraisal, supported by additional or different publications.

If a candidate opts to resubmit the critical appraisal, with additional or different publications, this shall be by a stated deadline, which will not exceed 24 months from notification of the result by the Postgraduate Research Service;

- (v) that the candidate has not met the criteria for the award of a PhD by Publication and should not be given an opportunity to submit a revised submission.

For a first submission there should be no reasonable basis for believing that the submission could meet the requirements for the award of a PhD by Publication within 24 months from the date of assessment;

MPhil candidates

3. Following the oral examination for the MPhil the examiners shall conclude the report by selecting one of the specific recommendations listed on the Examiners' Report Form:
 - (i) that the candidate has achieved the criteria for the award of an MPhil and should be awarded the degree of MPhil (any minor typographical errors detected by the examiners should be corrected before the thesis is hard bound and an electronic copy deposited in the Library).
 - (ii) that the candidate has achieved the criteria for the award of an MPhil and should be awarded the degree of MPhil subject to the completion of minor corrections to the thesis to the satisfaction of the nominated examiner (as set out in Instructions 41-43). The deadline for completion of the minor corrections shall normally be three months from the date of notification to the candidate by the Postgraduate Research Service.
 - (iii) ***First submission only (not available at resubmission)***: that the thesis in its current form does not demonstrate achievement of the criteria for the award of an MPhil, but that there is a reasonable basis for believing that the thesis could meet the requirements for the award of an MPhil if additional time (12 months) were to be given to revising the thesis. The candidate shall be invited to submit a revised thesis by a stated deadline, which will normally be 12 months from notification of the result by the Postgraduate Research Service.
 - (iv) that the candidate has not met the criteria for the award of an MPhil and therefore should not be given an opportunity to submit a revised thesis.

For a first submission there should be no reasonable basis for believing that the thesis could meet the requirements for the award of an MPhil if additional time were to be given to revising the thesis;

Masters by Research candidates

4. Following the oral examination for the Masters by Research the examiners shall conclude the report by selecting one of the specific recommendations listed on the Examiners' Report Form:
 - (i) that the candidate has achieved the criteria for the award of a Masters by Research and should be awarded the degree of Masters by Research (any minor typographical errors detected by the examiners should be corrected before the thesis is hard bound and an electronic copy deposited in the Library);
 - (ii) that the candidate has achieved the criteria for the award of a Masters by Research and should be awarded the degree of Masters by Research subject to the completion of minor corrections to the thesis to the satisfaction of the nominated examiner (as set out in Instructions 41-43). The deadline for completion of the minor corrections shall normally be three months from the date of notification to the candidate by the Postgraduate Research Service;
 - (iii) ***First submission only (not available at resubmission)***: that the thesis in its current form does not demonstrate achievement of the criteria for the award of a Masters by Research, but that there is a reasonable basis for believing that the thesis could meet the requirements for the award of a Masters by Research if additional time (6 months) were to be given to revising the thesis. The candidate shall be invited to submit a revised thesis by a stated deadline, which will normally be 6 months from notification of the result by the Postgraduate Research Service;
 - (iv) that the candidate has not met the criteria for the award of a Masters by Research and therefore should not be given an opportunity to submit a revised thesis.

For a first submission there should be no reasonable basis for believing that the thesis could meet the requirements for the award of a Masters by Research if additional time were to be given to revising the thesis;

EdD candidates

The following Instructions relate to the final (thesis) assessment for the EdD. For Instructions in relation to the Year Assessments please see Appendix B.

5. Following the oral examination for an EdD degree the examiners shall conclude the report by selecting one of the specific recommendations listed on the Examiners' Report Form:
 - (i) that the candidate has achieved the criteria for the award of an EdD and should be awarded the degree of EdD); (any minor typographical errors detected by the examiners should be corrected before the thesis is hard bound and an electronic copy deposited in the Library).
 - (ii) that the candidate has achieved the criteria for the award of an EdD and should be awarded the degree of EdD subject to the completion of

minor corrections to the thesis to the satisfaction of the nominated examiner (as set out in Instructions 41-43). The deadline for completion of the minor corrections shall normally be six months from the date of notification to the candidate by the Postgraduate Research Service;

- (iii) ***First submission only (not available at resubmission)***: that the thesis in its current form does not demonstrate achievement of the criteria for the award of an EdD, but that there is a reasonable basis for believing that the thesis could meet the requirements for the award of an EdD if additional time (12 months) were to be given to revising the thesis.

Where the thesis currently demonstrates achievement of the criteria for the award of an MEd the candidate will be given the option of submitting a revised thesis for the EdD **or** of being recommended for the award of the MEd (with or without minor corrections). A candidate who is given this option shall be allowed a period of not more than ten working days from receipt of formal notification of the outcome of the examination to decide which of these alternatives to accept.

If a candidate opts to revise the thesis, this shall be by a stated deadline, which will normally be 12 months from notification of the result by the Postgraduate Research Service;

- (iv) that the candidate has not achieved the criteria for the award of an EdD but the candidate has achieved the criteria for the award of an MEd and should be awarded an MEd (any minor typographical errors detected by the examiners should be corrected before the thesis is hard bound and an electronic copy deposited in the Library).

OR

that the candidate has not achieved the criteria for the award of an EdD, but has achieved the criteria for the award of an MEd and should be awarded an MEd subject to the completion of minor corrections to the satisfaction of the nominated examiner. The deadline for completion of the corrections will normally be three months from notification of the result by the Postgraduate Research Service in the case of minor corrections;

For a first submission there should be no reasonable basis for believing that the thesis could meet the requirements for the award of an EdD if additional time were to be given to revising the thesis;

- (v) that the candidate has not met the criteria for the award of an EdD or MEd and therefore should not be given an opportunity to submit a revised thesis.

For a first submission there should be no reasonable basis for believing that the thesis could meet the requirements for the award of an EdD or MEd if additional time were to be given to revising the thesis;

MEd candidates

The following Instructions relate to the final (thesis) assessment for the MEd. For Instructions in relation to the Year Assessments please see Appendix B.

6. Following the oral examination for the MEd the examiners shall conclude the report by selecting one of the specific recommendations listed on the Examiners' Report Form:
 - (i) that the candidate has achieved the criteria for the award of an MEd and should be awarded the degree of MEd (any minor typographical errors detected by the examiners should be corrected before the thesis is hard bound and an electronic copy deposited in the Library).
 - (ii) that the candidate has achieved the criteria for the award of an MEd and should be awarded the degree of MEd subject to the completion of minor corrections to the thesis to the satisfaction of the nominated examiner (as set out in Instructions 41-43). The deadline for completion of the minor corrections shall normally be three months from the date of notification to the candidate by the Postgraduate Research Service.
 - (iii) ***First submission only (not available at resubmission)***: that the thesis in its current form does not demonstrate achievement of the criteria for the award of an MEd, but that there is a reasonable basis for believing that the thesis could meet the requirements for the award of an MEd if additional time (12 months) were to be given to revising the thesis. The candidate shall be invited to submit a revised thesis by a stated deadline, which will normally be 12 months from notification of the result by the Postgraduate Research Service.
 - (iv) that the candidate has not met the criteria for the award of an MEd and therefore should not be given an opportunity to submit a revised thesis.

For a first submission there should be no reasonable basis for believing that the thesis could meet the requirements for the award of an MEd if additional time were to be given to revising the thesis;

Appendix B

Doctor of Education and Master of Education: Year Assessment

1. These Instructions are to be read in conjunction with the Regulations for the degree of Doctor of Education (EdD) and Master of Education (MEd).
2. To be recommended for the award of the degree of Doctor of Education or Master of Education a candidate must satisfy the examiners in the presentation of the results of research, study and training in research projects, essays and a research thesis.
3. In order to be recommended for the degree candidates shall satisfy the examiners in the assessments specified below in each Year and following submission of their thesis.

3.1 ***Doctor of Education (first registered on or before 30 September 2016)***

Year 1 Assessment

Candidates shall satisfy the examiners that they have reached the required standard in one 3,500 word essay (Critical Analysis) and one 6,500 word essay (Comparative Methodology).

Year 2 Assessment, first half

Candidates shall satisfy the examiners that they have reached the required standard in:-

a research proposal of up to 5,000 words, including a consideration of the =ethical protocols to be followed.

Year 2, second half to Year 3

Candidates shall satisfy the examiners that they have reached the required standard in:

Formative assignments including Literature Review, Methodology and Issues Emerging from Data.

Year 4 Assessment

Candidates shall satisfy the examiners that they have reached the required standard in:

- (a) a thesis not exceeding 60,000 words, incorporating the three formative assignments
- (b) an oral examination.

3.2 ***Master of Education (first registered on or before 30 September 2016)***

Year 1 Assessment

Candidates shall satisfy the examiners that they have reached the required standard in one 3,500 word essay (Critical Analysis) and one 6,500 word essay

(Comparative Methodology).

Year 2 Assessment

Candidates shall satisfy the examiners that they have reached the required standard in:

- (a) a thesis not exceeding 30,000 words, incorporating the three formative assignments
- (b) an oral examination.

3.3 ***Doctor of Education (first registered from 1 October 2016)***

Year 1 Assessment

Candidates shall satisfy the examiners that they have reached the required standard in one 3,500 word essay (Critical Analysis) and one 6,500 word essay (Comparative Methodology).

Year 2 Assessment

Candidates shall satisfy the examiners that they have reached the required standard in:-

- a) a research proposal of up to 5,000 words
- b) Ethics application

Transfer from initial registration on the Master of Education programme to the Doctor of Education programme is subject to successful completion of coursework and ethics approval for proposed research. The assessment will be undertaken by a panel of at least two members of academic staff, appointed by the Head of School (or nominee). The research proposal will be subject to approval by the School's Ethics Committee.

Year 3 and Year 4

Candidates shall satisfy the examiners that they have reached the required standard in:

Formative assignments including Literature Review, Methodology and Issues Emerging from Data.

Year 5 Assessment

Candidates shall satisfy the examiners that they have reached the required standard in:

- (a) a thesis not exceeding 60,000 words, incorporating the three formative assignments
- (b) an oral examination.

3.4 ***Master of Education (first registered from 1 October 2016)***

Year 1 Assessment

Candidates shall satisfy the examiners that they have reached the required standard in one 3,500 word essay (Critical Analysis) and one 6,500 word essay (Comparative Methodology).

Year 2 and 3

Candidates shall satisfy the examiners that they have reached the required standard in:

- (a) a thesis not exceeding 30,000 words
- (b) an oral examination.

4. In accordance with the provisions of Regulation 4.4, in order to proceed to the thesis element of either programme a candidate must satisfy the examiners that there is a reasonable expectation that he/she will successfully complete the programme for the degree for which he/she is registered. A candidate who fails to satisfy the examiners in this way may, with the approval of the examiners, be permitted to present themselves on one occasion only for reassessment at such time as the examiners shall prescribe.
5. Where a reassessment, because of its nature or timing cannot with reasonable practicability be completed within the year of study to which it relates the examiners may permit a candidate to proceed to the next year of the course on the condition that:-
 - a) the reassessment shall be arranged and completed as soon as practicable in accordance with a timetable to be stipulated by them,and
 - b) the examiners shall consider the outcome of the reassessment at the earliest feasible opportunity.

A candidate who fails to satisfy the examiners in any reassessment of work completed in the first year shall normally be required to withdraw from the University. A candidate who is aiming to transfer to the degree of Doctor of Education and who fails to satisfy the examiners on the assessment or reassessment at the end of Year 1 by a narrow margin will be offered the opportunity to transfer his or her registration to that for the degree of Master of Education.

Revised Regulations for the Degree of Doctor of Education and Master of Education (extract)

7 EXAMINATION

- 7.1 A candidate shall be examined orally on the thesis and on subjects relevant to it. The examination shall normally be held within three months of the date of the submission of the thesis. Exceptions to this shall require approval by the Academic Director of Research Degree Programmes.
- 7.2 Prior to the oral examination of the thesis the examiners shall each prepare independent preliminary reports regarding the candidate's performance.
- 7.3 In exceptional circumstances the Academic Director of Research Degree Programmes may, on sufficient grounds submitted by the examiners and on the recommendation of the Head of School (or nominee), excuse the candidate from the oral examination or agree to its replacement by a written examination.
- 7.4 The examiners having examined the candidate shall send their joint final report and recommendation to the Head of School (or nominee) concerned. If the examiners do not agree in their recommendations or if for any other reason the Head of School (or nominee) of the School needs a further opinion, the Head of School (or nominee) shall recommend to the Academic Director of Research Degree Programmes the appointment of an additional external examiner who shall conduct a further examination of the candidate.
- 7.5 The Head of School (or nominee) having considered the final report and recommendation of all the examiners shall then proceed in one of the following ways:

Candidates for the degree of Doctor of Education

- (1) if the thesis and performance in the oral examination are of sufficient merit it shall recommend that the candidate be approved for the award of the degree of Doctor of Education.
- (2) if the thesis and performance in the oral examination are of sufficient merit, but that minor corrections are required, it shall recommend that the candidate be approved for the award of the degree of Doctor of Education, subject to completion of minor corrections within six months;
- (3) if the thesis and performance in the oral examination are not of sufficient merit for the degree of Doctor of Education but there is reasonable expectation that the thesis, if revised, could reach the

standard required for the degree, the Head of School (or nominee) shall recommend either that the candidate be asked to submit a revised thesis or that the candidate be given the option either of submitting a revised thesis or of being approved for the award of Master of Education. A candidate who is given this option shall be allowed a period of not more than fourteen days from receipt of formal notification of the outcome of the examination to decide which of these alternatives to accept. A candidate who submits a revised thesis shall do so within one year and may be required to undergo further oral examination. A candidate shall not be allowed to submit a revised thesis on more than one occasion.

- (4) if the thesis and performance in the oral examination are not of sufficient merit for the degree of Doctor of Education and the Head of School (or nominee) is not of the opinion that the candidate should be permitted to submit a revised thesis, it shall, if the thesis and performance in the oral examination are of sufficient merit for the degree of Master of Education recommend that the candidate be approved for the award of the degree of Master of Education (with or without corrections).
- (5) if the thesis and performance in the oral examination are not of sufficient merit to entitle the candidate to the degree of Master of Education it shall recommend that no degree be awarded.

Candidates for the degree of Master of Education

- (1) if the thesis and performance in the oral examination are of sufficient merit it shall recommend that the candidate be approved for the award of the degree of Master of Education.
- (2) if the thesis and performance in the oral examination are of sufficient merit, but minor corrections are required, it shall recommend that the candidate be approved for the award of the degree of Master of Education, subject to completion of minor corrections within three months;
- (3) if the thesis and performance in the oral examination are not of sufficient merit for the degree of Master of Education it shall recommend:
either:
 - (a) that the candidate be permitted to submit a revised thesis. Such a candidate shall submit a revised thesis within twelve months and may be required to undergo further oral examination. A candidate shall not be allowed to submit a revised thesis on more than one occasion;
 - or*
 - (b) that no degree shall be awarded.

7.6 In all cases the recommendations of the Head of School (or nominee) shall be laid before the Head of Postgraduate Research Service (or nominee) who shall ensure that appropriate action is taken on behalf of the Senate.