Chapter 8

Research Degree Regulations
8. RESEARCH DEGREE REGULATIONS

8.1 Introduction

(1) This chapter provides details of the University of Wales Trinity Saint David’s (UWTSD) regulatory framework for postgraduate research degrees, and should be read in conjunction with the University Code of Practice for Research Degrees programmes. The Code of Practice gives advice and guidance but is subordinate to the Regulations.

(2) The Regulations seek to provide a framework which embodies nationally recognised good practice, together with practice derived from policies and/or codes of practice of such bodies as the Quality Assurance Agency, the national funding councils, research councils and organisations such as Vitae and the Council for Graduate Education.

(3) It is consistent with the precepts within the Quality Code: Chapter B11 Research Degrees, the QAA’s Framework for Higher Education Qualifications in England, Wales and Northern Ireland (FHEQ), and the Credit and Qualifications Framework for Wales (CQFW).

(4) Chapter 8 of the Academic Quality Handbook and the Code of Practice are applicable to all research degree students, unless, for University of Wales (UW) students, anything in these documents directly contradicts what is in the UW regulations and Code of Practice.

(5) The University aims to ensure:

• that its academic standards are equivalent to those of other UK higher education establishments and consistent with the credit and qualification framework for Wales Level Descriptors

and

• that the quality of provision gives students a fair and reasonable chance to gain a qualification in an acceptable timeframe.

(6) The chapter contains the following policies:

• policy for complaints about supervision;

• policy for appeals.

8.1.1 Research Degrees Covered by the Regulations

(1) This chapter includes the academic regulations for the Master by Research, for the Master of Philosophy (MPhil) and Doctor of Philosophy (PhD) research degrees, for Professional Doctorates, and for the Doctor of Philosophy by Published Works:

• Doctor of Philosophy by Research, including practice-based PhDs (PhD) (Section 8.2);

• Master of Philosophy by Research (MPhil), including practice-based MPhils (Section 8.3);

• Master of Arts by Research (MA) and Master of Science by Research (MSc) (Section 8.4);

• Professional Doctorates (Section 8.5);

• Master by Research (MRes) (Section 8.6);

• Doctor of Philosophy (PhD) by Published Works (Sections 8.7)

These regulations are also available to students through the University’s website.
8.1.2 Credit and Qualification Framework for Wales Level Descriptors, February 2009

<table>
<thead>
<tr>
<th>Level</th>
<th>Summary</th>
<th>Knowledge and Understanding</th>
<th>Application and Action</th>
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<tr>
<td>7</td>
<td>Achievement at Level 7 reflects the ability to reformulate and use relevant understanding, methodologies and approaches to address problematic situations that involve many interacting factors. It includes taking responsibility for planning and developing courses of action that initiate or underpin substantial change or development, as well as exercising broad autonomy and judgement. It also reflects an understanding of the relevant theoretical and methodological perspectives and how they affect their area of study or work.</td>
<td>Reformulate and use practical, conceptual or technological understanding to create ways forward in contexts in which there are many interacting factors. Critically analyse, interpret and evaluate complex information, concepts and theories to produce modified conceptions. Understand the wider contexts in which the area of study or work is located. Understand current developments in the area of study or work. Understand different theoretical and methodological perspectives and how they affect the area of study or work.</td>
<td>Conceptualise and address problematic situations that involve many interacting factors. Determine and use appropriate methodologies and approaches. Design and undertake research, development or strategic activities to inform the area of work or study or produce organisational or professional change. Critically evaluate actions, methods and results and their short- and long-term implications.</td>
<td>Take responsibility for planning and developing courses of action that initiate or underpin substantial changes or developments. Exercise broad autonomy and judgement across a significant area of work or study. Initiate and lead complex tasks and processes, taking responsibility, where relevant, for the work and roles of others.</td>
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<tr>
<td>8</td>
<td>Achievement at Level 8 reflects the ability to develop original understanding and extend an area of knowledge or professional practice. It reflects the ability to address problematic situations that involve many interacting factors.</td>
<td>Develop original practical, conceptual or technological understanding to create ways forward in contexts that lack definition and where there are many complex, interacting factors.</td>
<td>Conceptualise and address problematic situations that involve many complex, interacting factors. Formulate and use appropriate methodologies and approaches.</td>
<td>Take responsibility for planning and developing courses of action that have a significant impact on the field of work or knowledge, or result in a substantial organisational or professional change.</td>
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situations that involve many complex, interacting factors through initiating, designing and undertaking research, development or strategic activities. It involves the exercise of broad autonomy, judgement and leadership in sharing responsibility for the development of a field of work or knowledge or for creating substantial professional or organisational change.

Critically analyse, interpret and evaluate complex information, concepts and theories to produce new knowledge and theories.

Understand and re-conceptualise the wider contexts in which the field of work or study is located.

Extend a field of knowledge or work by contributing original knowledge and thinking.

Exercise critical understanding of different theoretical and methodological perspectives and how they affect the field of knowledge or work.

Initiate, design and undertake research, development or strategic activities that extend the field of work or knowledge or result in significant organisational or professional change.

Critically evaluate actions, methods and results and their short and long term implications for the field of work or knowledge and its wider context.

Exercise broad autonomy, judgement and leadership as a leading practitioner or scholar sharing responsibility for the development of a field of work or knowledge, or for substantial organisational or professional change.

Take responsibility for the advancement of professional practice.

8.1.3 Definitions

(1) The thesis embodies all the methods and results of the research and contains, for practice-based degrees both the reflective and practical elements, and, for the PhD by Published Works, both the published works and the reflective analysis.

(2) A student is any person enrolled or registered to follow a postgraduate research degree offered by the University.

(3) A student is considered to be a member of staff if the student’s primary role is that of lecturer/teaching fellow/tutor. Students whose primary role is that of a student and whose teaching duties as a graduate teaching assistant do not exceed 6 hours per week, are not responsible for the coordination of a module, and do not set the assessment for a module do not fall under this regulation.

8.1.4 Institutional Arrangements

(1) The University's policies and procedures for postgraduate research degree programmes are overseen by the Research Degrees Committee (see Section 2.6.4). The Research Degrees Committee has a number of sub-committees: the Research Degrees Admissions Sub-Committee, the Annual Review Boards. Terms of Reference for these sub-committees can be found in the Code of Practice for Research Degrees (Section: Research Degrees Structures). The Ethics Committee (see Section 2.6.5) is a sub-committee of Research Committee, but also reports to Research Degree Committee.
8.2 Regulations for Degree of the Doctor of Philosophy (PhD) by Research

8.2.1 Introduction

(1) The Degree of Doctor of Philosophy by Research may be awarded by the University in recognition of the successful completion of a programme of advanced study and research.

(2) Doctoral degrees are awarded to students who have demonstrated:

- the creation and interpretation of new knowledge, through original research or other advanced scholarship, of a quality to satisfy peer review, extend the forefront of the discipline, and merit publication;
- a systematic acquisition and understanding of a substantial body of knowledge which is at the forefront of an academic discipline or area of professional practice;
- the general ability to conceptualise, design and implement a project for the generation of new knowledge, applications or understanding at the forefront of the discipline, and to adjust the project design in the light of unforeseen problems;
- a detailed understanding of applicable techniques for research and advanced academic enquiry.

(3) Typically, holders of the qualification will be able to:

- make informed judgements on complex issues in specialist fields, often in the absence of complete data, and be able to communicate their ideas and conclusions clearly and effectively to specialist and non-specialist audiences;
- continue to undertake pure and/or applied research and development at an advanced level, contributing substantially to the development of new techniques, ideas or approaches.

(4) Holders will have:

- the qualities and transferable skills necessary for employment requiring the exercise of personal responsibility and largely autonomous initiative in complex and unpredictable situations, in professional or equivalent environments.

(5) In judging the merit of a thesis submitted in candidature for the degree of PhD by Research, the examiners will bear in mind the standard and scope of work which it is reasonable to expect a capable and diligent student to present after a period of 3 years of full-time study or its part-time equivalent.

(6) These regulations also apply to practice-based research degrees.

8.2.2 Entry Requirements

(1) The normal minimum entry requirement for applicants for the degree of PhD by Research is an upper second class honours degree or a Master’s degree relevant to the proposed research project awarded by a UK or other recognised University or higher education institution, or by the Council for National Academic Awards (CNAA).

(2) All applicants whose native language is not English must provide evidence of competence in English Language sufficient for research study, and after admission to the University may be required to take additional instruction in English Language.

(3) Successful applicants are initially enrolled on the PhD by Research for a probationary period of study (see Section 8.2.7.2).
(4) All applicants are required to comply with the general entry requirements set out in the Code of Practice for Research Degrees (Section: General Entry Requirements).

8.2.3 Eligibility and Methods of Study

(1) A student undertaking a PhD by Research must, to maintain a current enrolment status, pay all applicable fees and pursue an approved research project for the minimum period required for one of the four methods of study permitted in paragraph 8.2.3 (2) below.

(2) A student may undertake a PhD by Research by one of the following methods of study:

A. pursuit of full-time research at the University or a collaborative partner institution;
B. pursuit of full-time research externally in circumstances approved by the University;
C. pursuit of part-time research at the University or a collaborative partner institution;
D. pursuit of part-time research externally in circumstances approved by the University.

(3) The degree of PhD by Research may not be conferred as an honorary degree.

8.2.4 Required Periods of Study

(1) A student undertaking a PhD by Research must pursue a programme of supervised study, including research and generic skills development as either a full-time or a part-time student. The minimum periods of supervised study from the date of enrolment are set out in the Code of Practice for Research Degrees (Section: Methods, Modes and Periods of Study).

(2) The date of commencement of a PhD by Research is the date of first enrolment.

(3) A student may in some cases apply to or be required by the Research Degrees Committee to change mode of study or programme of study as set out in the Code of Practice for Research Degrees (Section: Change of Mode of Study). In such cases a revised minimum and maximum period of study will be determined by the Research Degrees Committee.

(4) A student is required to submit a thesis by the end of the maximum period of study as set out in the Code of Practice for Research Degrees (Section: Methods, Modes and Periods of Study) (for students first enrolled prior to October 2016, the maximum period of study is that as defined in the relevant section of the Academic Quality Handbook current at the time of initial enrolment and as stated in the formal Offer Letter).

(5) Where a student fails to submit a thesis by the end of the maximum period of study, the student’s candidature will be terminated.

(6) A student may not transfer candidature to another institution after the minimum period of study as set out in the Code of Practice for Research Degrees (Section: Methods, Modes and Periods of Study) has been completed at this University.

8.2.5 Suspension, interruption of studies and extension

(1) Under exceptional circumstances, and in accordance with the Code of Practice for Research Degrees (Section: Required to Suspend), a student may be required to undertake a suspension of studies by the Research Degrees Committee.

(2) Under exceptional circumstances, and in accordance with the Code of Practice for Research Degrees (Section: Interruption of Studies), a student who has not completed the minimum period of study may apply to the Research Degrees Committee for an interruption of studies.
(3) Under exceptional circumstances, and in accordance with the Code of Practice for Research Degrees (Section: Extensions), a student who has completed the minimum period of study may apply for an extension to the maximum submission date.

8.2.6 Supervision

(1) Every PhD by Research student must have a supervisory team of no fewer than two supervisors approved by the Research Degrees Committee (see the Code of Practice for Research Degrees (Section: Supervisors)).

(2) One of the supervisors will be identified as the Lead Supervisor. One of the supervisors, normally the Lead Supervisor, will act as the Director of Studies with primary responsibility for supporting the student on a pastoral level and for the administrative oversight of the supervision and the supervisory team.

8.2.7 Progress, Monitoring and Reports

(1) A student’s progress will be monitored at least annually to determine whether the student is:

(a) still actively engaged on the research project and making satisfactory progress;
(b) maintaining regular and frequent contact with the supervisory team;
(c) likely to complete successfully by the end of the minimum period of study.

(2) The process for monitoring of progress is set out in the Code of Practice for Research Degrees (Section: Progress Monitoring).

(3) For students who have completed the minimum period of study as set out in the Code of Practice for Research Degrees (Section: Methods, Modes and Periods of Study), an action plan for completion is expected as part of the annual monitoring process.

8.2.7.1 Approval of Research Project

(1) Following enrolment, all PhD by Research students must seek approval of the Research Degrees Committee for the research project in accordance with the Code of Practice for Research Degrees (Section: Approval of Research Project). After the research project has been approved in principle the student must seek approval from the Ethics Committee.

8.2.7.2 Probationary Period of Study

(1) Students enrolling on the degree of PhD by Research will be registered in the first instance on a probationary period of study.

(2) The processes for monitoring progress during the probationary period and for assessing whether or not a student has successfully completed the probationary period are set out in the Code of Practice for Research Degrees (Section: Probationary Period of Study).

(3) The probationary period for a student may be extended on one occasion only. Students who are judged not to have successfully completed the required probationary period will be required to withdraw from the degree or transfer to another degree where appropriate.

(4) Students have the right to appeal all decisions relating to the probationary period as set out in Section 8.2.15.
8.2.8 Employment of Postgraduate Research Students

(1) Students who seek employment in addition to studies, either within the University or external to it, must comply with the requirements set out in the Code of Practice for Research Degrees (Section: Guidelines on Employment).

8.2.9 Examination of PhD by Research

(1) The examination process for students of the degree of PhD by Research consists of two stages:

(a) preliminary independent examination of the thesis by the examiners, who are approved for the purpose by the University and who shall prepare independent interim reports on the thesis (see the Code of Practice for Research Degrees (Section: Examiners’ Reports));

(b) an oral examination conducted by an Examining Board (see Section 8.2.13).

(2) A student of the degree of PhD by Research must be examined on the work submitted by that student. A student may not amend, add to, or delete from the thesis after it has been submitted and prior to examination save with the consent of the Chair of the Examining Board. A student may withdraw the thesis after it has been submitted and prior to the examination, but once a thesis has been withdrawn by the student it cannot be submitted again for examination of the same degree.

(3) Where the submission includes non-textual artefacts the examination process must include a protocol to allow examiners to have appropriate access to the artefacts. This could take the form of an exhibition, recital, or performance, which must occur before the oral examination in such a way that the examiners are able to reflect on this in their independent reports submitted before the oral examination. The format must be approved by the Research Degrees Committee at the full research proposal stage; the exact arrangements for access must be approved by the Research Degrees Committee when the Examining Board is nominated and examination arrangements are finalised.

8.2.10 Submission of Thesis

(1) A student’s research for the PhD by Research must be completed by the presentation of a thesis embodying the methods and results of the research. A student should submit an intention to submit form at least 3 months prior to the expected date of submission.

(2) The thesis is to be written in Welsh or English. The use of brief quotations in other languages is permitted.

(3) On submission of the intention to submit form, the Academic Office and the supervisory team should start the setting up of an Examining Board in order to ensure that time-lines for Examining Boards can be met.

(4) On completion of the minimum period of study and prior to the maximum submission date, students must submit to the University two copies of the temporarily or permanently bound thesis and separate material, as well as an additional loose copy of the abstract transcribed onto the appropriate form. In addition, an electronic copy must be provided.

(5) To be eligible to submit a thesis, research degrees students must be enrolled on the degree for which submission is intended, and have paid all fees due (including any re-examination fee required) and satisfied all other financial obligations.

(6) The format and word length of the thesis must comply with the requirements set out in the Code of Practice for Research Degrees (Section: Presentation of Thesis).
8.2.11 Access to a thesis

(1) A thesis submitted for a research degree shall normally be openly available and subject to no security or restriction of access. The Research Degrees Committee may approve that a bar on photocopying and/or access to a thesis may be put in place for a specified period of up to 5 years. Wherever applicable, the student should make an application regarding photocopying and/or access to the thesis to the Research Degrees Committee as part of the formal research proposal.

(2) The title and summary of the thesis are normally freely available. Restricting access to these will only be approved in exceptional cases by the Research Degrees Committee.

8.2.12 The Examining Board

(1) The function of the Examining Board is to ascertain that the thesis submitted for award is at the appropriate standard, that it is the work of the student who is being examined and that the student displays the attributes expected of holders of the award (see Section 8.2.1).

(2) Normally an Examining Board will comprise the following only:

- Chair, appointed in accordance with the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners);
- Internal Examiner, appointed in accordance with the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners);
- External Examiner, appointed in accordance with the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners);

(3) In the cases including those where:

(i) the student is a member of staff of the University or of a collaborative partner institution;
(ii) it proves impossible to appoint an internal examiner either from within the University or a collaborative partner institution;
(iii) a special case is made to, or by, the Research Degrees Committee;

the Examining Board shall instead comprise:

- Chair, appointed in accordance with the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners);
- Two External Examiners, appointed in accordance with the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners).

(4) An additional examiner may be added where a thesis is highly interdisciplinary. A case must be made to the Research Degrees Committee for approval.

(5) A member of a supervisory team (or any individual who has been involved in the supervision of the student) must not be appointed as the student’s examiner although such individuals may, with the prior consent of the student, be invited to attend the oral examination.

(6) For regulations in relation to the selection and appointment of members of the Examining Board and approval of the overall examination board, see the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners).

(7) Students must not communicate with any members of the Examining Board either prior to or following the oral examination until such time as the examination process is completed.
8.2.13 Oral examination

(1) The Examining Board is required to conduct an oral examination of students in all cases. However, in exceptional cases the requirement for an oral examination may be waived for a re-submitted thesis at the discretion of the re-submission Examining Board and only where the examiners’ preliminary independent reports clearly recommend that the student should be approved for the degree sought. The final decision of whether or not to waive the oral examination is taken by the Chair of the Examining Board. Where the requirement for the oral examination has been waived, the examiners for the re-submission must provide a full independent and joint report.

(2) A student’s supervisors shall have the right to convey to the Chair of the Examining Board any concerns relevant to the student’s research project, the resulting thesis or its examination which the supervisors consider the Board should be aware of prior to reaching a decision. The supervisors shall convey these concerns, in writing, both to the Chair and to the student as soon as practicable after the submission of the thesis to allow the student sufficient time prior to the examination of the thesis (including any oral examination) to consider the points made and prepare a response.

(3) In very exceptional circumstances, the Research Degrees Committee will allow the oral examination to take place by video link.

(4) The Chair should meet the student in private prior to the oral examination to ask the student whether there are any health or other personal circumstances, not previously notified via the supervisor, that might impact on the student’s performance in the oral examination.

(5) Following the oral examination, the Examining Board is required to provide a report on the examination and to make one of the following recommendations to the Research Degrees Committee:

A. that the student be approved for the degree of PhD by Research;

B. that the student be approved for the degree of PhD by Research subject to the satisfactory completion of such corrections and amendments as may be required by the Examining Board. The Examining Board may stipulate that the corrections made shall be scrutinised by either or both examiners prior to the award process being initiated. Normally, corrections shall be completed within 6 months from the date of official notification to the student of the outcome of the examination;

C. that the student be not approved for the degree of PhD by Research at this stage but that the student is allowed to modify the thesis and re-submit it for examination for the degree of PhD by Research on one further occasion. The re-submission is to take place within a period not exceeding 1 year from the date of the official notification to the student of the outcome of the examination (this option is not available in the case of a student who has re-submitted a thesis for examination);

D. that the student be not approved for the degree of PhD by Research but be approved instead for the degree of MPhil by Research subject where appropriate to the satisfactory completion of such corrections and amendments as may be required by the Examining Board. The Examining Board may stipulate that the corrections made must be scrutinised by either or both examiner(s) prior to the award process being initiated; corrections and amendments must be completed within a period of 6 months from the date of the official notification to the student of the outcome of the examination;

E. that the student be not approved for the degree of PhD by Research but be allowed to modify the thesis and re-submit it for examination for the degree of MPhil by Research on one further occasion. The re-submission is to take place within a period not exceeding
1 year from the date of the official notification to the student of the outcome of the examination (this option is not available in the case of a student who has re-submitted a thesis for examination);

F. that the student be not approved for the award of a degree.

Outcomes C and E are not available in the case of a student who has re-submitted a thesis for examination.

(6) Students awarded the degree of MPhil by Research under paragraphs 8.2.13 D or E, cannot later submit for the degree of PhD by Research without pursuing a new scheme of research.

(7) Where examiners are unable to agree on a recommended outcome, the examiners must submit separate independent reports and recommendations to the Academic Office within 10 clear working days of the oral examination and the procedures described in the Code of Practice for Research Degrees (Section: Differences in Opinion between Examiners) must be followed.

(8) If, following the submission of corrections under outcomes B or D, it turns out that a student has not appropriately addressed all the issues raised by the Examining Board, at the discretion of the Research Degrees Committee the student may be allowed one further period of a maximum 4 weeks from the date of official notification to complete successfully all the corrections required.

8.2.14 Unfair practice

(1) An Examiner, who, either in the course of the examining process or subsequently, considers that a student has engaged in unfair practice, shall immediately report the circumstances in writing to the Chair of the Examining Board concerned. For regulations for unfair practice in research degrees see the Code of Practice for Research Degrees (Section: Unfair Practice in Research Degrees).

8.2.15 Appeals and Complaints

(1) Students have the right to appeal against decisions concerning probation, termination of study or against an outcome of the examination process, in accordance with the procedures set out in Section 8.8.

(2) Students have the right to make a complaint about any specific concern about the provision of their programme of study or academic services, in accordance with the procedures set out in Section 13.7. Students have the right to make a complaint about supervision, in accordance with the procedures set out in Section 8.9.

8.3 Regulations for the Degree of Master of Philosophy (MPhil) by Research

8.3.1 Introduction

(1) The Degree of Master of Philosophy by Research may be awarded by the University in recognition of the successful completion of a programme of advanced study and research.

(2) A Master’s degree is awarded to a student who has demonstrated:

- the creation and interpretation of new knowledge, through original research or other advanced scholarship, of a quality to satisfy peer review, extend the forefront of the discipline, and merit publication;
• a systematic understanding of knowledge and a critical awareness of current problems and/or new insights, much of which is at, or informed by, the forefront of their academic discipline, field of study or area of professional practice;

• a comprehensive understanding of techniques applicable to their own research or advanced scholarship;

• originality in the application of knowledge, together with a practical understanding of how established techniques of research and enquiry are used to create and interpret knowledge in the discipline;

• conceptual understanding that enables the student:
  • to evaluate critically current research and advanced scholarship in the discipline;
  • to evaluate methodologies and develop critiques of them and, where appropriate, to propose new hypotheses.

(3) Typically, holders of the qualification will be able to:

• deal with complex issues both systematically and creatively, make sound judgements in the absence of complete data, and communicate their conclusions clearly to specialist and non-specialist audiences;

• demonstrate self-direction and originality in tackling and solving problems, and act autonomously in planning and implementing tasks at a professional or equivalent level;

• continue to advance their knowledge and understanding, and to develop new skills to a high level.

(4) Holders will have:

• the qualities and transferable skills necessary for employment requiring:
  • the exercise of initiative and personal responsibility;
  • decision making in complex and unpredictable situations;
  • the independent learning ability required for continuing professional development.

(5) In judging the merit of a thesis submitted in candidature for the degree of MPhil by Research, the examiners will bear in mind the standard and scope of work which it is reasonable to expect a capable and diligent student to present after a period of 2 years of full-time study or its part-time equivalent.

8.3.2 Entry Requirements

(1) The normal minimum entry requirement for applicants for the degree of MPhil by Research is an upper second class honours degree or a Master’s degree relevant to the proposed research project awarded by a UK or other recognised University or higher education institution, or by the Council for National Academic Awards (CNAA).

(2) All applicants whose native language is not English must provide evidence of competence in English Language sufficient for research study, and after admission to the University may be required to take additional instruction in English Language.

(3) All applicants are required to comply with the general entry requirements set out in the Code of Practice for Research Degrees (Section: General Entry Requirements).

8.3.3 Eligibility and Methods of Study

(1) A student undertaking an MPhil by Research must, to maintain a current enrolment status, pay all applicable fees and pursue an approved research project for the minimum period required for one of the four methods of study permitted in paragraph 8.3.3 (2) below.

(2) A student may undertake a MPhil by Research by one of the following methods of study:
A. pursuit of full-time research at the University or a collaborative partner institution;
B. pursuit of full-time research externally in circumstances approved by the University;
C. pursuit of part-time research at the University or a collaborative partner institution;
D. pursuit of part-time research externally in circumstances approved by the University.

(3) The degree of MPhil by Research may not be conferred as an honorary degree.

8.3.4 Required Periods of Study

(1) A student undertaking an MPhil by Research must pursue a programme of supervised study, including research and generic skills development as either a full-time or a part-time student. The minimum periods of supervised study from the date of enrolment are set out in the Code of Practice for Research Degrees (Section: Methods, Modes and Periods of Study).

(2) The date of commencement of an MPhil by Research is the date of first enrolment.

(3) A student may in some cases apply to or be required by the Research Degrees Committee to change mode of study or programme of study as set out in the Code of Practice for Research Degrees (Section: Change of Mode of Study). In such cases a revised minimum and maximum period of study will be determined by the Research Degrees Committee.

(4) A student is required to submit a thesis by the end of the maximum period of study as set out in the Code of Practice for Research Degrees (Section: Methods, Modes and Periods of Study) (for students first enrolled prior to October 2016, the maximum period of study is that as defined in the relevant section of the Academic Quality Handbook current at the time of initial enrolment and as stated in the formal Offer Letter).

(5) Where a student fails to submit a thesis by the end of the maximum period of study, the student’s candidature will be terminated.

(6) A student may not transfer candidature to another institution after the minimum period of study as set out in the Code of Practice for Research Degrees (Section: Methods, Modes and Periods of Study) has been completed at this University.

8.3.5 Suspension, interruption of studies and extension

(1) Under exceptional circumstances, and in accordance with the Code of Practice for Research Degrees (Section: Required to Suspend), a student may be required to undertake a suspension of studies by the Research Degrees Committee.

(2) Under exceptional circumstances, and in accordance with the Code of Practice for Research Degrees (Section: Interruption of Studies), a student who has not completed the minimum period of study may apply to the Research Degrees Committee for an interruption of studies.

(3) Under exceptional circumstances, and in accordance with the Code of Practice for Research Degrees (Section: Extensions), a student who has completed the minimum period of study may apply for an extension to the maximum submission date.

8.3.6 Supervision

(1) Every MPhil by Research student must have a supervisory team of no fewer than two supervisors approved by the Research Degrees Committee (see the Code of Practice for Research Degrees (Section: Supervisors)).

(2) One of the supervisors will be identified as the Lead Supervisor. One of the supervisors, normally the Lead Supervisor, will act as the Director of Studies with primary responsibility for
supporting the student on a pastoral level and for the administrative oversight of the supervision and the supervisory team.

8.3.7 Progress, Monitoring and Reports

(1) A student’s progress will be monitored at least annually to determine whether the student is:

(a) still actively engaged on the research project and making satisfactory progress;
(b) maintaining regular and frequent contact with the supervisory team;
(c) likely to complete successfully by the end of the minimum period of study.

(2) The process for monitoring of progress is set out in the Code of Practice for Research Degrees (Section: Progress Monitoring).

(3) For students who have completed the minimum period of study as set out in the Code of Practice for Research Degrees (Section: Methods, Modes and Periods of Study), an action plan for completion is expected as part of the annual monitoring process.

8.3.7.1 Approval of Research Project

(1) Following enrolment, all MPhil by Research students must seek approval of the Research Degrees Committee for the research project in accordance with the Code of Practice for Research Degrees (Section: Approval of Research Project). After the research project has been approved in principle the student must seek approval from the Ethics Committee.

8.3.8 Employment of Postgraduate Research Students

(1) Students who seek employment in addition to studies, either within the University or external to it, must comply with the requirements set out in the Code of Practice for Research Degrees (Section: Guidelines on Employment).

8.3.9 Examination of MPhil by Research

(1) The examination process for students of the degree of MPhil by Research consists of two stages:

(a) preliminary independent examination of the thesis by the examiners, who are approved for the purpose by the University and who shall prepare independent interim reports on the thesis (see the Code of Practice for Research Degrees (Section: Examiners’ Reports);
(b) an oral examination conducted by an Examining Board (see Section 8.3.13).

(2) A student of the degree of MPhil by Research must be examined on the work submitted by that student. A student may not amend, add to, or delete from the thesis after it has been submitted and prior to examination save with the consent of the Chair of the Examining Board. A student may withdraw the thesis after it has been submitted and prior to the examination, but once a thesis has been withdrawn by the student it cannot be submitted again for examination of the same degree.

(3) Where the submission includes non-textual artefacts the examination process must include a protocol to allow examiners to have appropriate access to the artefacts. This could take the form of an exhibition, recital, or performance, which must occur before the oral examination in such a way that the examiners are able to reflect on this in their independent reports submitted before the oral examination. The format must be approved by the Research Degrees Committee at the full research proposal stage; the exact arrangements for access must be approved by the Research Degrees Committee when the Examining Board is nominated and examination arrangements are finalised.
8.3.10 Submission of Thesis

(1) A student’s research for the MPhil by Research must be completed by the presentation of a thesis embodying the methods and results of the research. A student should submit an intention to submit form at least 3 months prior to the expected date of submission.

(2) The thesis is to be written in Welsh or English. The use of brief quotations in other languages is permitted.

(3) On submission of the intention to submit form, the Academic Office and the supervisory team should start the setting up of an Examining Board in order to ensure that time-lines for Examining Boards can be met.

(4) On completion of the minimum period of study and prior to the maximum submission date, students must submit to the University two copies of the temporarily or permanently bound thesis and separate material, as well as an additional loose copy of the abstract transcribed onto the appropriate form. In addition, an electronic copy must be provided.

(5) To be eligible to submit a thesis, research degrees students must be enrolled on the degree for which submission is intended, and have paid all fees due (including any re-examination fee required) and satisfied all other financial obligations.

(6) The format and word length of the thesis must comply with the requirements set out in the Code of Practice for Research Degrees (Section: Presentation of Thesis).

8.3.11 Access to a thesis

(1) A thesis submitted for a research degree shall normally be openly available and subject to no security or restriction of access. The Research Degrees Committee may approve that a bar on photocopying and/or access to a thesis may be put in place for a specified period of up to 5 years. Wherever applicable, the student should make an application regarding photocopying and/or access to the thesis to the Research Degrees Committee as part of the formal research proposal.

(2) The title and summary of the thesis are normally freely available. Restricting access to these will only be approved in exceptional cases by the Research Degrees Committee.

8.3.12 The Examining Board

(1) The function of the Examining Board is to ascertain that the thesis submitted for award is at the appropriate standard, that it is the work of the student who is being examined and that the student displays the attributes expected of holders of the award (see Section 8.3.1).

(2) Normally an Examining Board will comprise the following only:

- Chair, appointed in accordance with the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners);
- Internal Examiner, appointed in accordance with the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners);
- External Examiner, appointed in accordance with the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners).

(3) In the cases including those where:

(i) the student is a member of staff of the University or of a collaborative partner institution;
(ii) it proves impossible to appoint an internal examiner either from within the University or a collaborative partner institution;

(iii) a special case is made to, or by, the Research Degrees Committee;

the Examining Board shall instead comprise:

• Chair, appointed in accordance with the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners);
• Two External Examiners, appointed in accordance with the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners).

(4) An additional examiner may be added where a thesis is highly interdisciplinary. A case must be made to the Research Degrees Committee for approval.

(5) A member of a supervisory team (or any individual who has been involved in the supervision of the student) must not be appointed as the student’s examiner although such individuals may, with the prior consent of the student, be invited to attend the oral examination.

(6) For regulations in relation to the selection and appointment of members of the Examining Board and approval of the overall examination board, see the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners).

(7) Students must not communicate with any members of the Examining Board either prior to or following the oral examination until such time as the examination process is completed.

8.3.13 Oral examination

(1) The Examining Board is required to conduct an oral examination of students in all cases. However, in exceptional cases the requirement for an oral examination may be waived for a re-submitted thesis at the discretion of the re-submission Examining Board and only where the examiners’ preliminary independent reports clearly recommend that the student should be approved for the degree sought. The final decision of whether or not to waive the oral examination is taken by the Chair of the Examining Board. Where the requirement for the oral examination has been waived, the examiners for the re-submission must provide a full independent and joint report.

(2) A student’s supervisors shall have the right to convey to the Chair of the Examining Board any concerns relevant to the student’s research project, the resulting thesis or its examination which the supervisors consider the Board should be aware of prior to reaching a decision. The supervisors shall convey these concerns, in writing, both to the Chair and to the student as soon as practicable after the submission of the thesis to allow the student sufficient time prior to the examination of the thesis (including any oral examination) to consider the points made and prepare a response.

(3) In very exceptional circumstances, the Research Degrees Committee will allow the oral examination to take place by video link.

(4) The Chair should meet the student in private prior to the oral examination to ask the student whether there are any health or other personal circumstances, not previously notified via the supervisor, that might impact on the student’s performance in the oral examination.

(5) Following the oral examination, the Examining Board is required to provide a report on the examination and to make one of the following recommendations to the Research Degrees Committee:
A. that the student be approved for the degree of MPhil by Research;

B. that the student be approved for the degree of MPhil by Research subject to the satisfactory completion of such corrections and amendments as may be required by the Examining Board. The Examining Board may stipulate that the corrections made shall be scrutinised by either or both examiners prior to the award process being initiated. Normally, corrections shall be completed within 6 months from the date of official notification to the student of the outcome of the examination;

C. that the student be not approved for the degree of MPhil by Research at this stage but that the student is allowed to modify the thesis and re-submit it for examination for the degree of MPhil by Research on one further occasion. The re-submission is to take place within a period not exceeding 1 year from the date of the official notification to the student of the outcome of the examination (this option is not available in the case of a student who has re-submitted a thesis for examination);

D. that the student be not approved for the award of the degree of MPhil by Research.

Outcome C is not available in the case of a student who has re-submitted a thesis for examination.

(6) Where examiners are unable to agree on a recommended outcome, the examiners must submit separate independent reports and recommendations to the Academic Office within 10 clear working days of the oral examination and the procedures described in the Code of Practice for Research Degrees (Section: Differences in Opinion Between Examiners) must be followed.

(7) If, following the submission of corrections under outcome B, it turns out that a student has not appropriately addressed all the issues raised by the Examining Board, at the discretion of the Research Degrees Committee the student may be allowed one further period of a maximum 4 weeks from the date of official notification to complete successfully all the corrections required.

8.3.14 Unfair practice

(1) An Examiner, who, either in the course of the examining process or subsequently, considers that a student has engaged in unfair practice, shall immediately report the circumstances in writing to the Chair of the Examining Board concerned. For regulations for unfair practice in research degrees see the Code of Practice for Research Degrees (Section: Unfair Practice in Research Degrees).

8.3.15 Appeals and Complaints

(1) Students have the right to appeal against decisions concerning termination of study or against an outcome of the examination process, in accordance with the procedures set out in Section 8.8.

(2) Students have the right to make a complaint about any specific concern about the provision of the programme of study or academic services, in accordance with the procedures set out in Section 13.7. Students have the right to make a complaint about supervision, in accordance with the procedures set out in Section 8.9.
8.4 Regulations for the Degree of Master of Arts (MA) by Research and Master of Science (MSc) by Research

8.4.1 Introduction

(1) The Degree of Master of Arts by Research / Master of Science by Research may be awarded by the University in recognition of the successful completion of a programme of advanced study and research.

(2) A Master’s degree is awarded to a student who has demonstrated:

- the creation and interpretation of new knowledge, through original research or other advanced scholarship, of a quality to satisfy peer review, extend the forefront of the discipline, and merit publication;
- a systematic understanding of knowledge and a critical awareness of current problems and/or new insights, much of which is at, or informed by, the forefront of their academic discipline, field of study or area of professional practice;
- a comprehensive understanding of techniques applicable to their own research or advanced scholarship;
- originality in the application of knowledge, together with a practical understanding of how established techniques of research and enquiry are used to create and interpret knowledge in the discipline;
- conceptual understanding that enables the student:
  - to evaluate critically current research and advanced scholarship in the discipline;
  - to evaluate methodologies and develop critiques of them and, where appropriate, to propose new hypotheses.

(3) Typically, holders of the qualification will be able to:

- deal with complex issues both systematically and creatively, make sound judgements in the absence of complete data, and communicate their conclusions clearly to specialist and non-specialist audiences;
- demonstrate self-direction and originality in tackling and solving problems, and act autonomously in planning and implementing tasks at a professional or equivalent level;
- continue to advance their knowledge and understanding, and to develop new skills to a high level.

(4) Holders will have:

- the qualities and transferable skills necessary for employment requiring:
  - the exercise of initiative and personal responsibility;
  - decision making in complex and unpredictable situations;
  - the independent learning ability required for continuing professional development.

(5) In judging the merit of a thesis submitted in candidature for the degree of MA by Research / MSc by Research, the examiners will bear in mind the standard and scope of work which it is reasonable to expect a capable and diligent student to present after a period of 1 year of full-time study or its part-time equivalent.

8.4.2 Entry Requirements

(1) The normal minimum entry requirement for applicants for the degree of MA by Research / MSc by Research is an upper second class honours degree or a Master’s degree relevant to the proposed research project awarded by a UK or other recognised University or higher education institution, or by the Council for National Academic Awards (CNAA).
(2) All applicants whose native language is not English must provide evidence of competence in English Language sufficient for research study, and after admission to the University may be required to take additional instruction in English Language.

(3) All applicants are required to comply with the general entry requirements set out in the Code of Practice for Research Degrees (Section: General Entry Requirements).

8.4.3 Eligibility and Methods of Study

(1) A student undertaking an MA by Research / MSc by Research must, to maintain a current enrolment status, pay all applicable fees and pursue an approved research project for the minimum period required for one of the four methods of study permitted in paragraph 8.4.3 (2) below.

(2) A student may undertake an MA by Research / MSc by Research by one of the following methods of study:

A. pursuit of full-time research at the University or a collaborative partner institution;
B. pursuit of full-time research externally in circumstances approved by the University;
C. pursuit of part-time research at the University or a collaborative partner institution;
D. pursuit of part-time research externally in circumstances approved by the University.

(3) The degree of MA by Research / MSc by Research may not be conferred as an honorary degree.

8.4.4 Required Periods of Study

(1) A student undertaking an MA by Research / MSc by Research must pursue a programme of supervised study, including research and generic skills development as either a full-time or a part-time student. The minimum periods of supervised study from the date of enrolment are set out in the Code of Practice for Research Degrees (Section: Methods, Modes and Periods of Study).

(2) The date of commencement of an MA by Research / MSc by Research is the date of first enrolment.

(3) A student may in some cases apply to or be required by the Research Degrees Committee to change mode of study or programme of study as set out in the Code of Practice for Research Degrees (Section: Change of Mode of Study). In such cases a revised minimum and maximum period of study will be determined by the Research Degrees Committee.

(4) A student is required to submit a thesis by the end of the maximum period of study as set out in the Code of Practice for Research Degrees (Section: Methods, Modes and Periods of Study).

(5) Where a student fails to submit a thesis by the end of the maximum period of study, the student’s candidature will be terminated.

(6) A student may not transfer candidature to another institution after the minimum period of study as set out in the Code of Practice for Research Degrees (Section: Methods, Modes and Periods of Study) has been completed at this University.

8.4.5 Suspension, interruption of studies and extension

(1) Under exceptional circumstances, and in accordance with the Code of Practice for Research Degrees (Section: Required to Suspend), a student may be required to undertake a suspension of studies by the Research Degrees Committee.
(2) Under exceptional circumstances, and in accordance with the Code of Practice for Research Degrees (Section: Interruption of Studies), a student who has not completed the minimum period of study may apply to the Research Degrees Committee for an interruption of studies.

(3) Under exceptional circumstances, and in accordance with the Code of Practice for Research Degrees (Section: Extensions), a student who has completed the minimum period of study may apply for an extension to the maximum submission date.

8.4.6 Supervision

(1) Every MA by Research / MSc by Research student must have a supervisor approved by the Research Degrees Committee (see the Code of Practice for Research Degrees (Section: Supervisors)).

8.4.7 Progress, Monitoring and Reports

(1) A student’s progress will be monitored at least annually to determine whether the student is:

(a) still actively engaged on the research project and making satisfactory progress;
(b) maintaining regular and frequent contact with the supervisory team;
(c) likely to complete successfully by the end of the minimum period of study.

(2) The process for monitoring of progress is set out in the Code of Practice for Research Degrees (Section: Progress Monitoring).

(3) For students who have completed the minimum period of study as set out in the Code of Practice for Research Degrees (Section: Methods, Modes and Periods of Study), an action plan for completion is expected as part of the annual monitoring process.

8.4.7.1 Approval of Research Project

(1) Following enrolment, all MA by Research / MSc by Research students must seek approval of the Research Degrees Committee for the research project in accordance with the Code of Practice for Research Degrees (Section: Approval of Research Project). After the research project has been approved in principle the student must seek approval from the Ethics Committee.

8.4.8 Employment of Postgraduate Research Students

(1) Students who seek employment in addition to their studies, either within the University or external to it, must comply with the requirements set out in the Code of Practice for Research Degrees (Section: Guidelines on Employment).

8.4.9 Examination of MA by Research / MSc by Research

(1) The examination process for students of the degree of MA by Research / MSc by Research consists of the independent examination of the thesis by the examiners, who are approved for the purpose by the University (see Section 8.4.13).

(2) In some cases the examiners may request that an oral examination be conducted by an Examining Board (see Section 8.4.13.1).

(3) A student of the degree of MA by Research / MSc by Research must be examined on the work submitted by the student. A student may not amend, add to, or delete from the thesis after it has been submitted and prior to examination save with the consent of the Chair of the Examining Board. A student may withdraw the thesis after it has been submitted and prior to
the examination, but once a thesis has been withdrawn by the student it cannot be submitted again for examination of the same degree.

(4) Where the submission includes non-textual artefacts the examination process must include a protocol to allow examiners to have appropriate access to the artefacts. This could take the form of an exhibition, recital, or performance, which must occur before the examination in such a way that the examiners are able to reflect on this in their independent reports. The format must be approved by the Research Degrees Committee at the full research proposal stage; the exact arrangements for access must be approved by the Research Degrees Committee when the Examining Board is nominated and examination arrangements are finalised.

8.4.10 Submission of Thesis

(1) A student's research for the MA by Research / MSc by Research must be completed by the presentation of a thesis embodying the methods and results of the research. A student should submit an intention to submit form at least 3 months prior to the expected date of submission.

(2) The thesis is to be written in Welsh or English. The use of brief quotations in other languages is permitted.

(3) On submission of the intention to submit form, the Academic Office and the supervisory team should start the setting up of an Examining Board in order to ensure that time-lines for Examining Boards can be met.

(4) On completion of the minimum period of study and prior to the maximum submission date, students must submit to the University two copies of the temporarily or permanently bound thesis and separate material, as well as an additional loose copy of the abstract transcribed onto the appropriate form. In addition, an electronic copy must be provided.

(5) To be eligible to submit a thesis, research degrees students must be enrolled on the degree for which submission is intended, and have paid all fees due (including any re-examination fee required) and satisfied all other financial obligations.

(6) The format and word length of the thesis must comply with the requirements set out in the Code of Practice for Research Degrees (Section: Presentation of Thesis).

8.4.11 Access to a thesis

(1) A thesis submitted for a research degree shall normally be openly available and subject to no security or restriction of access. The Research Degrees Committee may approve that a bar on photocopying and/or access to a thesis may be put in place for a specified period of up to 5 years. Wherever applicable, the student should make an application regarding photocopying and/or access to the thesis to the Research Degrees Committee as part of the formal research proposal.

(2) The title and summary of the thesis are normally freely available. Restricting access to these will only be approved in exceptional cases by the Research Degrees Committee.

8.4.12 The Examining Board

(1) The function of the Examining Board is to ascertain that the thesis submitted for award is at the appropriate standard, that it is the work of the student who is being examined and that the student displays the attributes expected of holders of the award (see Section 8.4.1).

(2) Normally an Examining Board will comprise the following only:
• Chair, appointed in accordance with the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners);
• Internal Examiner, appointed in accordance with the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners);
• External Examiner, appointed in accordance with the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners).

(3) In the cases including those where:

(i) the student is a member of staff of the University or of a collaborative partner institution;
(ii) it proves impossible to appoint an internal examiner either from within the University or a collaborative partner institution;
(iii) a special case is made to, or by, the Research Degrees Committee;

the Examining Board shall instead comprise:

• Chair, appointed in accordance with the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners);
• Two External Examiners, appointed in accordance with the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners).

(4) An additional examiner may be added where a thesis is highly interdisciplinary. A case must be made to the Research Degrees Committee for approval.

(5) A supervisor (or any individual who has been involved in the supervision of the student) must not be appointed as the student’s examiner although such individuals may, with the prior consent of the student, be invited to attend an oral examination where this is held.

(6) For regulations in relation to the selection and appointment of members of the Examining Board and approval of the overall examination board, see the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners).

(7) Students must not communicate with any members of the Examining Board either prior to or following the examination of the thesis until such time as the examination process is completed.

8.4.13 Initial examination

(1) A student’s supervisor shall have the right to convey to the Chair of the Examining Board any concerns relevant to the student’s research project, the resulting thesis or its examination which the supervisors consider the Board should be aware of prior to reaching a decision. The supervisors shall convey these concerns, in writing, both to the Chair and to the student as soon as practicable after the submission of the thesis.

(2) Each examiner is required to provide an independent preliminary report on the thesis and to make one of the following recommendations to the Research Degrees Committee:

A. that the student be approved for the degree of MA by Research / MSc by Research;

B. that the student be approved for the degree of MA by Research / MSc by Research subject to the satisfactory completion of such corrections and amendments as may be required by the examiner. Normally, corrections shall be completed within 12 weeks from the date of official notification to the student of the outcome of the examination;

C. that an oral examination is required in order to make a recommendation.
(3) Where one examiner recommends that the student should be approved for the degree (outcome A), while the other examiner recommends that the student should be approved for the degree subject to the satisfactory completion of corrections and amendments (outcome B), then the student must submit corrections to the relevant examiner in the prescribed time frame.

(4) Where both examiners recommend that the student should be approved for the degree subject to the satisfactory completion of corrections and amendments (outcome B), then the student must submit corrections to the relevant examiner in the prescribed time frame. The Chair of the Examining Board should contact both examiners to determine which examiner will scrutinise the corrections.

(5) If, following the submission of corrections under outcome B, it turns out that a student has not appropriately addressed all the issues raised by the examiner(s), at the discretion of the Research Degrees Committee the student may be allowed one further period of a maximum 4 weeks from the date of official notification to complete successfully all the corrections required.

(6) Where one or both examiners recommends that an oral examination is required, then an oral examination shall be arranged (see Section 8.4.13.1).

8.4.13.1 Oral examination

(1) A student’s supervisor shall have the right to convey to the Chair of the Examining Board any concerns relevant to the student’s research project, the resulting thesis or its examination which the supervisors consider the Board should be aware of prior to reaching a decision. The supervisors shall convey these concerns, in writing, both to the Chair and to the student as soon as practicable after the decision to hold an oral examination to allow the student sufficient time prior to the oral examination to consider the points made and prepare a response.

(2) In very exceptional circumstances, the Research Degrees Committee will allow the oral examination to take place by video link.

(3) The Chair should meet the student in private prior to the oral examination to ask the student whether there are any health or other personal circumstances, not previously notified via the supervisor, that might impact on the student’s performance in the oral examination.

(4) Following the oral examination, the Examining Board is required to provide a report on the examination and to make one of the following recommendations to the Research Degrees Committee:

A. that the student be approved for the degree of MA by Research / MSc by Research;

B. that the student be approved for the degree of MA by Research / MSc by Research subject to the satisfactory completion of such corrections and amendments as may be required by the Examining Board. The Examining Board may stipulate that the corrections made shall be scrutinised by either or both examiners prior to the award process being initiated. Normally, corrections shall be completed within 12 weeks from the date of official notification to the student of the outcome of the examination;

C. that the student be not approved for the degree of MA by Research / MSc by Research at this stage but that the student is allowed to modify the thesis and re-submit it for examination for the degree of MA by Research / MSc by Research on one further occasion. The re-submission is to take place within a period not exceeding 6 months from the date of the official notification to the student of the outcome of the examination
(this option is not available in the case of a student who has re-submitted a thesis for examination);

D. that the student be not approved for the award of the degree of MA by Research / MSc by Research.

Outcome C is not available in the case of a student who has re-submitted a thesis for examination.

(5) Where examiners are unable to agree on a recommended outcome, the examiners must submit separate independent reports and recommendations to the Academic Office within 10 clear working days of the oral examination and the procedures described in the Code of Practice for research Degree (Section: Differences in Opinion Between Examiners) must be followed.

(6) If, following the submission of corrections under outcome B, it turns out that a student has not appropriately addressed all the issues raised by the Examining Board, at the discretion of the Research Degrees Committee the student may be allowed one further period of a maximum 4 weeks from the date of official notification to complete successfully all the corrections required.

8.4.14 Unfair practice

(1) An Examiner, who, either in the course of the examining process or subsequently, considers that a student has engaged in unfair practice, shall immediately report the circumstances in writing to the Chair of the Examining Board concerned. For regulations for unfair practice in research degrees see the Code of Practice for Research Degrees (Section: Unfair Practice in Research Degrees).

8.4.15 Appeals and Complaints

(1) Students have the right to appeal against decisions concerning termination of study or against an outcome of the examination process, in accordance with the procedures set out in Section 8.8.

(2) Students have the right to make a complaint about any specific concern about the provision of the programme of study or academic services, in accordance with the procedures set out in Section 13.7. Students have the right to make a complaint about supervision, in accordance with the procedures set out in Section 8.9.

8.5 Regulations for the Degree of Professional Doctorate

8.5.1 Introduction

(1) The Degree of Professional Doctorate may be awarded by the University in recognition of the successful completion of an approved programme of directed study (Part One) together with successful completion of a programme of advanced study and research (Part Two).

(2) Doctoral degrees are awarded to students who have demonstrated:
  • the creation and interpretation of new knowledge, through original research or other advanced scholarship, of a quality to satisfy peer review, extend the forefront of the discipline, and merit publication;
  • a systematic acquisition and understanding of a substantial body of knowledge which is at the forefront of an academic discipline or area of professional practice;
• the general ability to conceptualise, design and implement a project for the generation of new knowledge, applications or understanding at the forefront of the discipline, and to adjust the project design in the light of unforeseen problems;
• a detailed understanding of applicable techniques for research and advanced academic enquiry.

(3) Typically, holders of the qualification will be able to:

• make informed judgements on complex issues in specialist fields, often in the absence of complete data, and be able to communicate their ideas and conclusions clearly and effectively to specialist and non-specialist audiences;
• continue to undertake pure and/or applied research and development at an advanced level, contributing substantially to the development of new techniques, ideas or approaches.

(4) Holders will have:

• the qualities and transferable skills necessary for employment requiring the exercise of personal responsibility and largely autonomous initiative in complex and unpredictable situations, in professional or equivalent environments.

(5) In judging the merit of a thesis submitted in candidature for the degree of Professional Doctorate, the examiners will bear in mind the standard and scope of work which it is reasonable to expect a capable and diligent student to present after a period of 2 years of full-time study or its part-time equivalent.

8.5.2 Entry Requirements

(1) The normal minimum entry requirement for applicants for the degree of Professional Doctorate is an upper second class honours degree or a Master's degree relevant to the proposed programme awarded by a UK or other recognised University or higher education institution, or by the Council for National Academic Awards (CNAA).

(2) All applicants whose native language is not English must provide evidence of competence in English Language sufficient for research study, and after admission to the University may be required to take additional instruction in English Language.

(3) In addition to the entry requirements set out in paragraphs 8.5.2 (1) and (2), applicants may be required to have obtained a certain level of professional experience prior to admission. Any such requirements must be approved at validation and be clearly communicated to applicants.

(4) All applicants are required to comply with the general entry requirements set out in the Code of Practice for Research Degrees (Section: General Entry Requirements).

8.5.3 Eligibility and Methods of Study

(1) A student undertaking a Professional Doctorate must, to maintain a current enrolment status, pay all applicable fees and pursue an approved research project for the minimum period required for one of the four methods of study permitted in paragraph 8.5.3 (2) below.

(2) A student may undertake a Professional Doctorate by one of the following methods of study:

   A. pursuit of full-time study and research at the University or a collaborative partner institution;
   B. pursuit of full-time study and research externally in circumstances approved by the University;
   C. pursuit of part-time study and research at the University or a collaborative partner institution;
D. pursuit of part-time study and research externally in circumstances approved by the University.

(3) The degree of Professional Doctorate may not be conferred as an honorary degree.

(4) The Professional Doctorate consists of two parts. Part One will comprise of 180 credits of taught modules at Level 7; Part Two will be research-focused and completed by the presentation of a thesis and any portfolio of supporting material embodying the methods of the research.

(5) A student may seek Recognition of Prior Learning (RPL) either as based on Certificated Learning or Experiential Learning for part or all of Part One of a Professional Doctorate following the University’s Recognition of Prior Learning Procedure as set out in Section 10.4. All requests for Recognition of Prior Learning must be made before a student initially registers. Any restrictions on recognition of prior learning must be approved at validation.

8.5.4 Required Periods of Study

(1) A student undertaking a Professional Doctorate must follow a programme of directed study and pursue a programme of supervised study, including research and generic skills development as either a full-time or a part-time student. The minimum periods of supervised study from the date of enrolment are set out in the Code of Practice for Research Degrees (Section: Methods, Modes and Periods of Study).

(2) The date of commencement of a Professional Doctorate is the date of first enrolment.

(3) A student may in some cases apply to or be required by the Research Degrees Committee to change mode of study or programme of study as set out in the Code of Practice for Research Degrees (Section: Change of mode of Study). In such cases a revised minimum and maximum period of study will be determined by the Research Degrees Committee.

(4) A student is required to submit a thesis by the end of the maximum period of study as set out in the Code of Practice for Research Degrees (Section: Methods, Modes and Periods of Study) (for students first enrolled prior to October 2016, the maximum period of study is that as defined in the relevant section of the Academic Quality Handbook current at the time of initial enrolment and as stated in the formal Offer Letter).

(5) Where a student fails to submit a thesis by the end of the maximum period of study, the student’s candidature will be terminated.

(6) A student may not transfer candidature to another institution after the student has started Part Two of the Professional Doctorate or after the minimum period of study as set out in the Code of Practice for Research Degrees (Section: Methods, Modes and Periods of Study) has been completed at this University.

8.5.5 Suspension, interruption of studies and extension

(1) Under exceptional circumstances, and in accordance with the Code of Practice for Research Degrees (Section: Required to Suspend), a student may be required to undertake a suspension of studies by the Research Degrees Committee.

(2) Under exceptional circumstances, and in accordance with the Code of Practice for Research Degrees (Section: Interruption of Studies), a student who has not completed the minimum period of study may apply to the Research Degrees Committee for an interruption of studies.
(3) Under exceptional circumstances, and in accordance with the Code of Practice for Research Degrees (Section: Extensions), a student who has completed the minimum period of study may apply for an extension to the maximum submission date.

8.5.6 Supervision

(1) From the start of Part Two of a Professional Doctorate every student must have a supervisory team of no fewer than two supervisors approved by the Research Degrees Committee (see the Code of Practice for Research Degrees (Section: Supervisors)).

(2) One of the supervisors will be identified as the Lead Supervisor. One of the supervisors, normally the Lead Supervisor, will act as the Director of Studies with primary responsibility for supporting the student on a pastoral level and for the administrative oversight of the supervision and the supervisory team.

8.5.7 Progress, Monitoring and Reports

(1) A student’s progress will be monitored at least annually to determine whether the student is:

(a) still actively engaged on the research project and making satisfactory progress;
(b) maintaining regular and frequent contact with the supervisory team;
(c) likely to complete successfully by the end of the minimum period of study.

(2) For students in Part One of the Professional Doctorate monitoring will be carried out by the relevant Examining Boards (see Section 7.15).

(3) The process for monitoring of progress for students in Part Two of the Professional Doctorate is set out in the Code of Practice for Research Degrees (Section: Progress Monitoring).

(4) For students in Part Two of the Professional Doctorate who have completed the minimum period of study as set out in the Code of Practice for Research Degrees (Section: Methods, Modes and Periods of Study), an action plan for completion is expected as part of the annual monitoring process.

8.5.7.1 Approval of Research Project

(1) Following transfer to Part Two of a Professional Doctorate, all students must seek approval of the Research Degrees Committee for the research project in accordance with the Code of Practice for Research Degrees (Section: Approval of Research Project). After the research project has been approved in principle the student must seek approval from the Ethics Committee.

8.5.8 Employment of Postgraduate Research Students

(1) Students who seek employment in addition to their studies, either within the University or external to it, must comply with the requirements set out in the Code of Practice for Research Degrees (Section: Guidelines on Employment).

8.5.9 Examination of Professional Doctorate

8.5.9.1 Examination of Part One

(1) Part One shall comprise of modules at Level 7 with a total credit rating of 180 credits. The process for managing the assessment of modules, the awarding of credit and the rules for progression for modules at Level 7 follow the same principles as those outlined in Sections 6.8 and 6.8.5 with the exception that there is no condonement of modules and students must accumulate 180 credits at Level 7 in Part One in order to progress to Part Two.
(2) The process for setting of tasks for re-assessment follow the same principles as those outlined in Section 7.9.

(3) Module external examiners will be appointed for all modules which form part of Part One in accordance with Section 7.14. The performance of students on Part One will be considered by Examining Boards in accordance with Section 7.15.

8.5.9.2 Examination of Part Two

(1) A student must have successfully completed Part One before being permitted to present the thesis and any portfolio for examination under Part Two.

(2) The examination process for students of Part Two of the degree of Professional Doctorate consists of two stages:
   (a) preliminary independent examination of the thesis by the examiners, who are approved for the purpose by the University and who shall prepare independent interim reports on the thesis (see the Code of Practice for Research Degrees (Section: Examiners’ Reports));
   (b) an oral examination conducted by an Examining Board (see Section 8.5.13).

(3) A student of the degree of Professional Doctorate must be examined on the work submitted by that student. A student may not amend, add to, or delete from the thesis after it has been submitted and prior to examination save with the consent of the Chair of the Examining Board. A student may withdraw the thesis after it has been submitted and prior to the examination, but once a thesis has been withdrawn by the student it cannot be submitted again for examination of the same degree.

(4) Where the submission includes non-textual artefacts the examination process must include a protocol to allow examiners to have appropriate access to the artefacts. This could take the form of an exhibition, recital, or performance, which must occur before the oral examination in such a way that the examiners are able to reflect on this in their independent reports submitted before the oral examination. The format must be approved by the Research Degrees Committee at the full research proposal stage; the exact arrangements for access must be approved by the Research Degrees Committee when the Examining Board is nominated and examination arrangements are finalised.

8.5.10 Submission of Thesis

(1) A student’s research for the Part Two of the Professional Doctorate must be completed by the presentation of a thesis embodying the methods and results of the research. A student should submit an intention to submit form at least 3 months prior to the expected date of submission.

(2) The thesis is to be written in Welsh or English. The use of brief quotations in other languages is permitted.

(3) On submission of the intention to submit form, the Academic Office and the supervisory team should start the setting up of an Examining Board in order to ensure that time-lines for Examining Boards can be met.

(4) On completion of the minimum period of study and prior to the maximum submission date, students must submit to the University two copies of the temporarily or permanently bound thesis and separate material, as well as an additional loose copy of the abstract transcribed onto the appropriate form. In addition, an electronic copy must be provided.
To be eligible to submit a thesis, research degrees students must be enrolled on the degree for which submission is intended, and have paid all fees due (including any re-examination fee required) and satisfied all other financial obligations.

The format and word length of the thesis must comply with the requirements set out in the Code of Practice for Research Degrees (Section: Presentation of Thesis).

8.5.11 Access to a thesis

A thesis submitted for a research degree shall normally be openly available and subject to no security or restriction of access. The Research Degrees Committee may approve that a bar on photocopying and/or access to a thesis may be put in place for a specified period of up to 5 years. Wherever applicable, the student should make an application regarding photocopying and/or access to the thesis to the Research Degrees Committee as part of the formal research proposal.

The title and summary of the thesis are normally freely available. Restricting access to these will only be approved in exceptional cases by the Research Degrees Committee.

8.5.12 The Examining Board for Part Two

The function of the Examining Board is to ascertain that the thesis submitted for award is at the appropriate standard, that it is the work of the student who is being examined and that the student displays the attributes expected of holders of the award (see Section 8.5.1).

Normally an Examining Board will comprise the following only:

- Chair, appointed in accordance with the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners);
- Internal Examiner, appointed in accordance with the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners);
- External Examiner, appointed in accordance with the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners);

In the cases including those where:

(i) the student is a member of staff of the University or of a collaborative partner institution;
(ii) it proves impossible to appoint an internal examiner either from within the University or a collaborative partner institution;
(iii) a special case is made to, or by, the Research Degrees Committee;

the Examining Board shall instead comprise:

- Chair, appointed in accordance with the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners);
- Two External Examiners, appointed in accordance with the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners).

An additional examiner may be added where a thesis is highly interdisciplinary. A case must be made to the Research Degrees Committee for approval.

A member of a supervisory team (or any individual who has been involved in the supervision of the student) must not be appointed as the student’s examiner although such individuals may, with the prior consent of the student, be invited to attend the oral examination.
(6) For regulations in relation to the selection and appointment of members of the Examining Board and approval of the overall examination board, see the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners).

(7) Students must not communicate with any members of the Examining Board either prior to or following the oral examination until such time as the examination process is completed.

8.5.13 Oral examination

(1) The Examining Board is required to conduct an oral examination of students in all cases. However, in exceptional cases the requirement for an oral examination may be waived for a re-submitted thesis at the discretion of the re-submission Examining Board and only where the examiners’ preliminary independent reports clearly recommend that the student should be approved for the degree sought. The final decision of whether or not to waive the oral examination is taken by the Chair of the Examining Board. Where the requirement for the oral examination has been waived, the examiners for the re-submission must provide a full independent and joint report.

(2) A student’s supervisors shall have the right to convey to the Chair of the Examining Board any concerns relevant to the student’s research project, the resulting thesis or its examination which the supervisors consider the Board should be aware of prior to reaching a decision. The supervisors shall convey these concerns, in writing, both to the Chair and to the student as soon as practicable after the submission of the thesis to allow the student sufficient time prior to the examination of the thesis (including any oral examination) to consider the points made and prepare a response.

(3) In very exceptional circumstances, the Research Degrees Committee will allow the oral examination to take place by video link.

(4) The Chair should meet the student in private prior to the oral examination to ask the student whether there are any health or other personal circumstances, not previously notified via the supervisor, that might impact on the student’s performance in the oral examination.

(5) Following the oral examination, the Examining Board is required to provide a report on the examination and to make one of the following recommendations to the Research Degrees Committee:

A. that the student be approved for the degree of Professional Doctorate;

B. that the student be approved for the degree of Professional Doctorate subject to the satisfactory completion of such corrections and amendments as may be required by the Examining Board. The Examining Board may stipulate that the corrections made shall be scrutinised by either or both examiners prior to the award process being initiated. Normally, corrections shall be completed within 6 months from the date of official notification to the student of the outcome of the examination;

C. that the student be not approved for the degree of Professional Doctorate at this stage but that the student is allowed to modify the thesis and re-submit it for examination for the degree of Professional Doctorate on one further occasion. The re-submission is to take place within a period not exceeding 1 year from the date of the official notification to the student of the outcome of the examination (this option is not available in the case of a student who has re-submitted a thesis for examination);

D. that the student be not approved for the award of the degree of Professional Doctorate.

Outcome C is not available in the case of a student who has re-submitted a thesis for examination.
(6) Where examiners are unable to agree on a recommended outcome, the examiners must submit separate independent reports and recommendations to the Academic Office within 10 clear working days of the oral examination and the procedures described in the Code of Practice for Research Degrees (Section: Differences in Opinion Between Examiners) must be followed.

(7) If, following the submission of corrections under outcome B, it turns out that a student has not appropriately addressed all the issues raised by the Examining Board, at the discretion of the Research Degrees Committee the student may be allowed one further period of a maximum 4 weeks from the date of official notification to complete successfully all the corrections required.

8.5.14 Unfair practice

(1) An Examiner, who, either in the course of the examining process or subsequently, considers that a student has engaged in unfair practice, shall immediately report the circumstances in writing to the Chair of the Examining Board concerned. For regulations for unfair practice in research degrees see the Code of Practice for Research Degrees (Section: Unfair Practice in Research Degrees).

8.5.15 Appeals and Complaints

(1) Students have the right to appeal against decisions concerning termination of study or against an outcome of the examination process, in accordance with the procedures set out in Section 8.8.

(2) Students have the right to make a complaint about any specific concern about the provision of the programme of study or academic services, in accordance with the procedures set out in Section 13.7. Students have the right to make a complaint about supervision, in accordance with the procedures set out in Section 8.9.

8.5.16 Exit Awards for Professional Doctorate

(1) If a student fails to satisfy the conditions for progression at the end of Part One or fails to satisfy the conditions for award at the end of Part Two, the student may be eligible for an award of Postgraduate Diploma in accordance with Section 6.9.3 or Postgraduate Certificate in accordance with Section 6.9.2.

8.6 Regulations for the Degree of Master by Research (MRes)

8.6.1 Introduction

(1) The Degree of Master by Research may be awarded by the University in recognition of the successful completion of an approved programme of directed study (Part One) together with successful completion of a programme of further study and research (Part Two).

(2) A Master’s degree is awarded to a student who has demonstrated:

- the creation and interpretation of new knowledge, through original research or other advanced scholarship, of a quality to satisfy peer review, extend the forefront of the discipline, and merit publication;
- a systematic understanding of knowledge and a critical awareness of current problems and/or new insights, much of which is at, or informed by, the forefront of their academic discipline, field of study or area of professional practice;
- a comprehensive understanding of techniques applicable to their own research or advanced scholarship;
• originality in the application of knowledge, together with a practical understanding of how established techniques of research and enquiry are used to create and interpret knowledge in the discipline;

• conceptual understanding that enables the student:
  o to evaluate critically current research and advanced scholarship in the discipline;
  o to evaluate methodologies and develop critiques of them and, where appropriate, to propose new hypotheses.

(3) Typically, holders of the qualification will be able to:

• deal with complex issues both systematically and creatively, make sound judgements in the absence of complete data, and communicate their conclusions clearly to specialist and non-specialist audiences;

• demonstrate self-direction and originality in tackling and solving problems, and act autonomously in planning and implementing tasks at a professional or equivalent level;

• continue to advance their knowledge and understanding, and to develop new skills to a high level.

(4) Holders will have:

• the qualities and transferable skills necessary for employment requiring:
  o the exercise of initiative and personal responsibility;
  o decision making in complex and unpredictable situations;
  o the independent learning ability required for continuing professional development.

(5) In judging the merit of a thesis submitted in candidature for the degree of Master by Research, the examiners will bear in mind the standard and scope of work which it is reasonable to expect a capable and diligent student to present within the specified period of candidature.

8.6.2 Entry Requirements

(1) The normal minimum entry requirement for applicants for the degree of Master by Research is a second class honours degree relevant to the programme awarded by a UK or other recognised University or higher education institution, or by the Council for National Academic Awards (CNAA).

(2) All applicants whose native language is not English must provide evidence of competence in English Language sufficient for research study, and after admission to the University may be required to take additional instruction in English Language.

(3) All applicants are required to comply with the general entry requirements set out in the Code of Practice for Research Degrees (Section: General Entry Requirements).

8.6.3 Eligibility and Methods of Study

(1) A student undertaking a Master by Research must, to maintain a current enrolment status, pay all applicable fees and pursue an approved research project for the minimum period required for one of the four methods of study permitted in paragraph 8.6.3 (2) below.

(2) A student may undertake a Master by Research by one of the following methods of study:

A. pursuit of full-time study and research at the University or a collaborative partner institution;  
B. pursuit of full-time study and research externally in circumstances approved by the University;  
C. pursuit of part-time study and research at the University or a collaborative partner institution;  
D. pursuit of part-time study and research externally in circumstances approved by the University.
(3) The degree of Master by Research may not be conferred as an honorary degree.

(4) The degree of Master by Research consists of two parts. Part One will normally comprise of 60 credits of taught modules at Level 7; Part Two will be research-focused and completed by the presentation of a thesis and any portfolio of supporting material embodying the methods of the research.

(5) A student may seek Recognition of Prior Learning (RPL) either as based on Certificated Learning or Experiential Learning for part or all of Part One of a Master by Research following the University's Recognition of Prior Learning Procedure as set out in Section 10.4. All requests for Recognition of Prior Learning must be made before a student initially registers. Any restrictions on recognition of prior learning must be approved at validation.

8.6.4 Required Periods of Study

(1) A student undertaking a Master by Research must follow a programme of directed study and pursue a programme of supervised study, including research and generic skills development as either a full-time or a part-time student. The minimum periods of supervised study from the date of enrolment are set out in the Code of Practice for Research Degrees (Section: Methods, Modes and Periods of Study).

(2) The date of commencement of a Master by Research is the date of first enrolment.

(3) A student may in some cases apply to or be required by the Research Degrees Committee to change mode of study or programme of study as set out in the Code of Practice for Research Degrees (Section: Change of Mode of Study). In such cases a revised minimum and maximum period of study will be determined by the Research Degrees Committee.

(4) A student is required to submit a thesis by the end of the maximum period of study as set out in the Code of Practice for Research Degrees (Section: Methods, Modes and Periods of Study) (for students first enrolled prior to October 2016, the maximum period of study is that as defined in the relevant section of the Academic Quality Handbook current at the time of initial enrolment and as stated in the formal Offer Letter).

(5) Where a student fails to submit a thesis by the end of the maximum period of study, the student's candidature will be terminated.

(6) A student may not transfer candidature to another institution after the student has started Part Two of the Master by Research or after the minimum period of study as set out in the Code of Practice for Research Degrees (Section: Methods, Modes and Periods of Study) has been completed at this University.

8.6.5 Suspension, interruption of studies and extension

(1) Under exceptional circumstances, and in accordance with the Code of Practice for Research Degrees (Section: Required to Suspend), a student may be required to undertake a suspension of studies by the Research Degrees Committee.

(2) Under exceptional circumstances, and in accordance with the Code of Practice for Research Degrees (Section: Interruption of Studies), a student who has not completed the minimum period of study may apply to the Research Degrees Committee for an interruption of studies.

(3) Under exceptional circumstances, and in accordance with the Code of Practice for Research Degrees (Section: Extensions), a student who has completed the minimum period of study may apply for an extension to the maximum submission date.
8.6.6 Supervision

(1) From the start of Part Two of a Master by Research every student must have a supervisor approved by the Research Degrees Committee (see the Code of Practice for Research Degrees (Section: Supervisors)).

8.6.7 Progress, Monitoring and Reports

(1) A student’s progress will be monitored at least annually to determine whether the student is:
   (a) still actively engaged on the research project and making satisfactory progress;
   (b) maintaining regular and frequent contact with the supervisory team;
   (c) likely to complete successfully by the end of the minimum period of study.

(2) For students in Part One of the Master by Research monitoring will be carried out by the relevant Examining Boards (see Section 7.15).

(3) The process for monitoring of progress for students in Part Two of the Master by Research is set out in the Code of Practice for Research Degrees (Section: Progress Monitoring).

(4) For students in Part Two of the Master by Research who have completed the minimum period of study as set out in the Code of Practice (Section: Methods, Modes and Periods of Study), an action plan for completion is expected as part of the annual monitoring process.

8.6.7.1 Approval of Research Project

(1) Following transfer to Part Two of a Master by Research, all students must seek approval of the Research Degrees Committee for the research project in accordance with the Code of Practice for Research Degrees (Section: Approval of Research Project). After the research project has been approved in principle the student must seek approval from the Ethics Committee.

8.6.8 Employment of Postgraduate Research Students

(1) Students who seek employment in addition to their studies, either within the University or external to it, must comply with the requirements set out in the Code of Practice for Research Degrees (Guidelines on Employment).

8.6.9 Examination of Master by Research

8.6.9.1 Examination of Part One

(1) Part One shall comprise of modules at Level 7 with a total credit rating of 60 credits. The process for managing the assessment of modules, the awarding of credit and the rules for progression for modules at Level 7 follow the same principles as those outlined in Sections 6.8 and 6.8.5 with the exception that there is no condonement of modules and students must accumulate 60 credits at Level 7 in Part One in order to progress to Part Two.

(2) The process for setting of tasks for re-assessment follow the same principles as those outlined in Section 7.9.

(3) Module external examiners will be appointed for all modules which form part of Part One in accordance with Section 7.14. The performance of students on Part One will be considered by Examining Boards in accordance with Section 7.15.
8.6.9.2 Examination of Part Two

(1) A student must have successfully completed Part One before being permitted to present the thesis and any portfolio for examination under Part Two.

(2) The examination process for students of Part Two of the degree of Master by Research consists of the independent examination of the thesis by the examiners, who are approved for the purpose by the University (see Section 8.6.13).

(3) In some cases the examiners may request that an oral examination be conducted by an Examining Board (see Section 8.6.13.1).

(4) A student of the degree of Master by Research must be examined on the work submitted by that student. A student may not amend, add to, or delete from the thesis after it has been submitted and prior to examination save with the consent of the Chair of the Examining Board. A student may withdraw the thesis after it has been submitted and prior to the examination, but once a thesis has been withdrawn by the student it cannot be submitted again for examination of the same degree.

(5) Where the submission includes non-textual artefacts the examination process must include a protocol to allow examiners to have appropriate access to the artefacts. This could take the form of an exhibition, recital, or performance, which must occur before the examination in such a way that the examiners are able to reflect on this in their independent reports. The format must be approved by the Research Degrees Committee at the full research proposal stage; the exact arrangements for access must be approved by the Research Degrees Committee when the Examining Board is nominated and examination arrangements are finalised.

8.6.10 Submission of Thesis

(1) A student’s research for the Part Two of the Master by Research must be completed by the presentation of a thesis embodying the methods and results of the research. A student should submit an intention to submit form at least 3 months prior to the expected date of submission.

(2) The thesis is to be written in Welsh or English. The use of brief quotations in other languages is permitted.

(3) On submission of the intention to submit form, the Academic Office and the supervisory team should start the setting up of an Examining Board in order to ensure that time-frames for Examining Boards can be met.

(4) On completion of the minimum period of study and prior to the maximum submission date, students must submit to the University two copies of the temporarily or permanently bound thesis and separate material, as well as an additional loose copy of the abstract transcribed onto the appropriate form. In addition, an electronic copy must be provided.

(5) To be eligible to submit a thesis, research degrees students must be enrolled on the degree for which submission is intended, and have paid all fees due (including any re-examination fee required) and satisfied all other financial obligations.

(6) The format and word length of the thesis must comply with the requirements set out in the Code of Practice for Research Degrees (Section: Presentation of Thesis).

8.6.11 Access to a thesis

(1) A thesis submitted for a research degree shall normally be openly available and subject to no security or restriction of access. The Research Degrees Committee may approve that a bar on photocopying and/or access to a thesis may be put in place for a specified period of up to
5 years. Wherever applicable, the student should make an application regarding photocopying and/or access to the thesis to the Research Degrees Committee as part of the formal research proposal.

(2) The title and summary of the thesis are normally freely available. Restricting access to these will only be approved in exceptional cases by the Research Degrees Committee.

8.6.12 The Examining Board for Part Two

(1) The function of the Examining Board is to ascertain that the thesis submitted for award is at the appropriate standard, that it is the work of the student who is being examined and that the student displays the attributes expected of holders of the award (see Section 8.6.1).

(2) Normally an Examining Board will comprise the following only:
- Chair, appointed in accordance with the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners);
- Internal Examiner, appointed in accordance with the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners);
- External Examiner, appointed in accordance with the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners);

(3) In the cases including those where:
   (i) the student is a member of staff of the University or of a collaborative partner institution;
   (ii) it proves impossible to appoint an internal examiner either from within the University or a collaborative partner institution;
   (iii) a special case is made to, or by, the Research Degrees Committee;

the Examining Board shall instead comprise:
- Chair, appointed in accordance with the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners);
- Two External Examiners, appointed in accordance with the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners).

(4) An additional examiner may be added where a thesis is highly interdisciplinary. A case must be made to the Research Degrees Committee for approval.

(5) A supervisor (or any individual who has been involved in the supervision of the student) must not be appointed as the student’s examiner although such individuals may, with the prior consent of the student, be invited to attend an oral examination where this is held.

(6) For regulations in relation to the selection and appointment of members of the Examining Board and approval of the overall examination board, see the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners).

(7) Students must not communicate with any members of the Examining Board either prior to or following the oral examination until such time as the examination process is completed.

8.6.13 Initial examination

(1) A student’s supervisor shall have the right to convey to the Chair of the Examining Board any concerns relevant to the student’s research project, the resulting thesis or its examination which the supervisors consider the Board should be aware of prior to reaching a decision. The supervisors shall convey these concerns, in writing, both to the Chair and to the student as soon as practicable after the submission of the thesis.
(2) Each examiner is required to provide an independent preliminary report on the thesis and to make one of the following recommendations to the Research Degrees Committee:

A. that the student be approved for the degree of Master by Research;

B. that the student be approved for the degree of Master by Research subject to the satisfactory completion of such corrections and amendments as may be required by the examiner. Normally, corrections shall be completed within 12 weeks from the date of official notification to the student of the outcome of the examination;

C. that an oral examination is required in order to make a recommendation.

(3) Where one examiner recommends that the student should be approved for the degree (outcome A), while the other examiner recommends that the student should be approved for the degree subject to the satisfactory completion of corrections and amendments (outcome B), then the student must submit corrections to the relevant examiner in the prescribed time frame.

(4) Where both examiners recommends that the student should be approved for the degree subject to to the satisfactory completion of corrections and amendments (outcome B), then the student must submit corrections to the relevant examiner in the prescribed time frame. The Chair of the Examining Board should contact both examiners to determine which examiner will scrutinise the corrections.

(5) If, following the submission of corrections under outcome B, it turns out that a student has not appropriately addressed all the issues raised by the examiner(s), at the discretion of the Research Degrees Committee the student may be allowed one further period of a maximum 4 weeks from the date of official notification to complete successfully all the corrections required.

(6) Where one or both examiners recommends that an oral examination is required, then an oral examination shall be arranged (see Section 8.6.13.1).

8.6.13.1 Oral examination

(1) A student’s supervisor shall have the right to convey to the Chair of the Examining Board any concerns relevant to the student’s research project, the resulting thesis or its examination which the supervisors consider the Board should be aware of prior to reaching a decision. The supervisors shall convey these concerns, in writing, both to the Chair and to the student as soon as practicable after the decision to hold an oral examination to allow the student sufficient time prior to the oral examination to consider the points made and prepare a response.

(2) In very exceptional circumstances, the Research Degrees Committee will allow the oral examination to take place by video link.

(3) The Chair should meet the student in private prior to the oral examination to ask the student whether there are any health or other personal circumstances, not previously notified via the supervisor, that might impact on the student’s performance in the oral examination.

(4) Following the oral examination, the Examining Board is required to provide a report on the examination and to make one of the following recommendations to the Research Degrees Committee:

A. that the student be approved for the degree of Master by Research;

B. that the student be approved for the degree of Master by Research subject to the satisfactory completion of such corrections and amendments as may be required by the
Examining Board. The Examining Board may stipulate that the corrections made shall be scrutinised by either or both examiners prior to the award process being initiated. Normally, corrections shall be completed within 12 weeks from the date of official notification to the student of the outcome of the examination;

C. that the student be not approved for the degree of Master by Research at this stage but that the student is allowed to modify the thesis and re-submit it for examination for the degree of Master by Research on one further occasion. The re-submission is to take place within a period not exceeding 6 months from the date of the official notification to the student of the outcome of the examination (this option is not available in the case of a student who has re-submitted a thesis for examination);

D. that the student be not approved for the award of the degree of Master by Research.

Outcome C is not available in the case of a student who has re-submitted a thesis for examination.

(5) Where examiners are unable to agree on a recommended outcome, the examiners must submit separate independent reports and recommendations to the Academic Office within 10 clear working days of the oral examination and the procedures described in the Code of Practice for Research Degrees (Differences in Opinion Between Examiners) must be followed.

(6) If, following the submission of corrections under outcome B, it turns out that a student has not appropriately addressed all the issues raised by the Examining Board, at the discretion of the Research Degrees Committee the student may be allowed one further period of a maximum 4 weeks from the date of official notification to complete successfully all the corrections required.

8.6.14 Unfair practice

(1) An Examiner, who, either in the course of the examining process or subsequently, considers that a student has engaged in unfair practice, shall immediately report the circumstances in writing to the Chair of the Examining Board concerned. For regulations for unfair practice in research degrees see the Code of Practice for Research Degrees (Section: Unfair Practice in Research Degrees).

8.6.15 Appeals and Complaints

(1) Students have the right to appeal against decisions concerning termination of study or against an outcome of the examination process, in accordance with the procedures set out in Section 8.8.

(2) Students have the right to make a complaint about any specific concern about the provision of the programme of study or academic services, in accordance with the procedures set out in Section 13.7. Students have the right to make a complaint about supervision, in accordance with the procedures set out in Section 8.9.

8.6.16 Exit Awards for Master by Research

(1) If a student fails to satisfy the conditions for progression at the end of Part One or fails to satisfy the conditions for award at the end of Part Two, the student may be eligible for an award of Postgraduate Certificate in accordance with Section 6.9.2.
8.7 Regulations for Degree of the Doctor of Philosophy (PhD) by Published Works

8.7.1 Introduction

(1) The Degree of Doctor of Philosophy by Published Works may be awarded by the University in recognition of the successful completion of a programme of advanced study and research.

(2) Doctoral degrees are awarded to students who have demonstrated:

- the creation and interpretation of new knowledge, through original research or other advanced scholarship, of a quality to satisfy peer review, extend the forefront of the discipline, and merit publication;
- a systematic acquisition and understanding of a substantial body of knowledge which is at the forefront of an academic discipline or area of professional practice;
- the general ability to conceptualise, design and implement a project for the generation of new knowledge, applications or understanding at the forefront of the discipline, and to adjust the project design in the light of unforeseen problems;
- a detailed understanding of applicable techniques for research and advanced academic enquiry.

(3) Typically, holders of the qualification will be able to:

- make informed judgements on complex issues in specialist fields, often in the absence of complete data, and be able to communicate their ideas and conclusions clearly and effectively to specialist and non-specialist audiences;
- continue to undertake pure and/or applied research and development at an advanced level, contributing substantially to the development of new techniques, ideas or approaches.

(4) Holders will have:

- the qualities and transferable skills necessary for employment requiring the exercise of personal responsibility and largely autonomous initiative in complex and unpredictable situations, in professional or equivalent environments.

8.7.1.1 Definition of Published Works

(1) For the purpose of these Regulations, ‘published works’ may be defined as works published in scholarly books and journals. The language of publication shall be either Welsh or English. All work must have been published in such a way as to be generally available for consultation by scholars or other interested persons. All work must have been internationally peer reviewed and must have been published no more than 10 years prior to the date of submission.

(2) The published works submitted for the degree must constitute a corpus of publication tending towards a coherent thesis, rather than a series of disconnected publications.

(3) The published works submitted for the degree must be substantially different from any work which may have previously been submitted for any degree at this or any other institution.

(4) Electronic works may be considered as eligible, but the candidate should provide evidence that the work will continue to be publicly available for the foreseeable future in the present form.

(5) The published works should be of a standard equivalent to that of a “traditional” PhD in the relevant academic area and should demonstrate the student’s original contribution to knowledge.
8.7.2 Entry Requirements

(1) The normal minimum entry requirement for applicants for the degree of PhD by Published Works is an upper second class honours degree or a Master’s degree relevant to the proposed research project awarded by a UK or other recognised University or higher education institution, or by the Council for National Academic Awards (CNAA).

(2) All applicants whose native language is not English must provide evidence of competence in English Language sufficient for research study, and after admission to the University may be required to take additional instruction in English Language.

(3) In addition to the entry requirements set out in paragraphs 8.7.2 (1) and (2), applicants must be either a graduate of the University of at least 6 years’ standing prior to registration or have held an appointment in the University for a continuous period of at least 3 years on a full-time basis (or 6 years on a part-time basis) immediately prior to registration.

(4) A person shall not be eligible to proceed to the degree of PhD by Published Works under these regulations if the person has been previously approved for a PhD of the University.

(5) All applicants are required to comply with the general entry requirements set out in the Code of Practice for Research Degrees (Section: General Entry Requirements).

8.7.2.1 Application Process

(1) An applicant must submit an application that shall consist of the following:

   (i) A detailed list of the published works that will be included in the final submission and evidence of the public availability and traceability of the published works;
   
   (ii) A statement of no more than 3,000 words which seeks to show the coherence and academic impact of the body of work submitted;

(2) An applicant, in submitting an application, is also required to (a) declare that none of the published works individually or collectively is substantially the same as any work that has previously been submitted for another qualification at any university or similar institution, (b) declare that, until the outcome of the current application is known, none of the published works individually or collectively will be submitted for any qualification at another university or similar institution.

8.7.3 Eligibility and Methods of Study

(1) A student undertaking a PhD by Published Works must, to maintain a current enrolment status, pay all applicable fees and pursue an approved research project for the minimum period required.

(2) A student may undertake a PhD by Published Works by one of the following methods of study:

   A. pursuit of full-time research at the University or a collaborative partner institution;
   B. pursuit of full-time research externally in circumstances approved by the University;
   C. pursuit of part-time research at the University or a collaborative partner institution;
   D. pursuit of part-time research externally in circumstances approved by the University.

(3) The degree of PhD by Published Works may not be conferred as an honorary degree.

8.7.4 Required Periods of Study

(1) A student undertaking a PhD by Published Works must pursue a programme of supervised study, including research and generic skills development as either a full-time or a part-time
student. The minimum periods of supervised study from the date of enrolment are set out in the Code of Practice for Research Degrees (Section: Methods, Modes and Periods of Study).

(2) The date of commencement of a PhD by Published Works is the date of first enrolment.

(3) A student is required to submit for the degree by the end of the maximum period of study as set out in the Code of Practice for Research Degrees (Section: Methods, Modes and Periods of Study) (for students first enrolled prior to October 2016, the maximum period of study is that as defined in the relevant section of the Academic Quality Handbook current at the time of initial enrolment and as stated in the formal Offer Letter).

(4) Where a student fails to submit by the end of the maximum period of study, the student’s candidature will be terminated.

(5) A student may not transfer candidature to another institution after the minimum period of study as set out in the Code of Practice for Research Degrees (Section: Methods, Modes and Periods of Study) has been completed at this University.

8.7.5 Suspension and extension

(1) Under exceptional circumstances, and in accordance with the Code of Practice for Research Degrees (Section: Required to Suspend), a student may be required to undertake a suspension of studies by the Research Degrees Committee.

(2) Under exceptional circumstances, and in accordance with the Code of Practice for Research Degrees (Section: Interruption of Studies), a student who has not completed the minimum period of study may apply to the Research Degrees Committee for an interruption of studies.

(3) Under exceptional circumstances, and in accordance with the Code of Practice for Research Degrees (Section: Extensions), a student who has completed the minimum period of study may apply for an extension to the maximum submission date.

8.7.6 Supervision

(1) Every PhD by Published Works student must have a supervisory team of no fewer than two supervisors approved by the Research Degrees Committee (see the Code of Practice for Research Degrees (Section: Supervisors)).

(2) One of the supervisors will be identified as the Lead Supervisor. One of the supervisors, normally the Lead Supervisor, will act as the Director of Studies with primary responsibility for supporting the student on a pastoral level and for the administrative oversight of the supervision and the supervisory team.

(3) At least one member of the overall team must have experience in the supervision or examination of the PhD by Published Works; this may take the form of the addition of an adviser to the team.

8.7.7 Progress, Monitoring and Reports

(1) A student’s progress will be monitored at least annually to determine whether the student is:

(a) still actively engaged on the research project and making satisfactory progress;
(b) maintaining regular and frequent contact with the supervisory team;
(c) likely to complete successfully by the end of the minimum period of study.

(2) The process for monitoring of progress is set out in the Code of Practice for Research Degrees (Section: Progress Monitoring).
(3) For students who have completed the minimum period of study as set out in the Code of Practice (Section: Methods, Modes and Periods of Study), an action plan for completion is expected as part of the annual monitoring process.

8.7.7.1 Approval of Research Project

(1) Following enrolment, all PhD by Published Works students must seek approval of the Research Degrees Committee for the research project in accordance with the Code of Practice for Research Degrees (Section: Approval of Research Project). After the research project has been approved in principle the student must seek approval from the Ethics Committee.

8.7.8 Employment of Postgraduate Research Students

(1) Students who seek employment in addition to studies, either within the University or external to it, must comply with the requirements set out in the Code of Practice for Research Degrees (Section: Guidelines on Employment).

8.7.9 Examination of PhD by Published Works

(1) Students of the degrees of PhD by Published Works are examined on the submitted published works and the reflective analysis. The examination process for students of the degree of PhD by Published Works consists of two stages:

(a) preliminary independent examination of the reflective analysis together with the published works by the examiners, who are approved for the purpose by the University and who shall prepare independent interim reports on the reflective analysis and published works (see the Code of Practice for Research Degrees (Section: Examiners’ Reports));

(b) an oral examination conducted by an Examining Board (see Section 8.7.13).

(2) A student of the degree of PhD by Published Work must be examined on the work submitted by that student. A student may not amend, add to, or delete from the reflective analysis after it has been submitted and prior to examination save with the consent of the Chair of the Examining Board. A student may withdraw the reflective analysis after it has been submitted and prior to the examination, but once a reflective analysis has been withdrawn by the student it cannot be submitted again for examination of the same degree.

8.7.10 Submission

(1) The volume of published work submitted will depend on both the academic area and the type of published works included in the submission, but the submission should normally comprise of no less than 4 individual published works and no more than 10 individual published works. However, the issue of number is subservient to the question of the quality and impact of the output.

(2) The submission shall comprise:

a) An abstract providing a summary of the published works containing all of the main concepts and conclusions of the published work that shall be no more than 300 words in length;

b) A summary sheet listing all of the published works submitted together with a statement of the extent of the student’s contribution to any multi-authored work, substantiated by all the co-authors;

c) A copy of each published work numbered in accordance with b) above;

d) A reflective analysis of no more than 30,000 words putting the total published work submitted into the context of knowledge as it then existed and indicating also the
independent, coherent and original contribution to learning in that academic field which in the student’s opinion the published work has made.

e) Evidence of the status of all the published works submitted.

(3) The reflective analysis shall contain a critical reflection on the research methodology and methods used. It should also articulate a rationale to prove at least equivalence to the standard normally demonstrated by a successful PhD thesis.

(4) The reflective analysis is to be written in Welsh or English. The use of brief quotations in other languages is permitted.

(5) On submission of the intention to submit form, the Academic Office and the supervisory team should start the setting up of an Examining Board in order to ensure that time-lines for Examining Boards can be met.

(6) On completion of the minimum period of study and prior to the maximum submission date, students must submit to the University two copies of the temporarily or permanently bound reflective analysis together with the published works and separate material, as well as an additional loose copy of the abstract transcribed onto the appropriate form. In addition, an electronic copy must be provided.

(7) To be eligible to submit a thesis, research degrees students must be enrolled on the degree for which submission is intended, and have paid all fees due (including any re-examination fee required) and satisfied all other financial obligations.

8.7.11 Access to submission

(1) Due to the nature of the award, no request for a bar on photocopying and/or access to any part of the PhD by Published Works will be considered.

8.7.12 The Examining Board

(1) The function of the Examining Board is to ascertain that the reflective analysis and the published works submitted for award is at the appropriate standard, that it is the work of the student who is being examined and that the student displays the attributes expected of holders of the award (see Section 8.7.1).

(2) Normally an Examining Board will comprise the following only:

- Chair, appointed in accordance with the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners);
- Internal Examiner, appointed in accordance with the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners);
- External Examiner, appointed in accordance with the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners);

(3) In the cases including those where:

(i) the student is a member of staff of the University or of a collaborative partner institution;
(ii) it proves impossible to appoint an internal examiner either from within the University or a collaborative partner institution;
(iii) a special case is made to, or by, the Research Degrees Committee;

the Examining Board shall instead comprise:

- Chair, appointed in accordance with the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners);
• Two External Examiners, appointed in accordance with the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners).

(4) An additional examiner may be added where a thesis is highly interdisciplinary. A case must be made to the Research Degrees Committee for approval.

(5) A member of a supervisory team (or any individual who has been involved in the supervision of the student) must not be appointed as the student’s examiner although such individuals may, with the prior consent of the student, be invited to attend the oral examination.

(6) For regulations in relation to the selection and appointment of members of the Examining Board and approval of the overall examination board, see the Code of Practice for Research Degrees (Section: Constitution of Examining Board and Examiners).

(7) Students must not communicate with any members of the Examining Board either prior to or following the oral examination until such time as the examination process is completed.

8.7.13 Oral examination

(1) The Examining Board is required to conduct an oral examination of students in all cases. However, in exceptional cases the requirement for an oral examination may be waived for a re-submitted reflective analysis at the discretion of the re-submission Examining Board and only where the examiners’ preliminary independent reports clearly recommend that the student should be approved for the degree sought. The final decision of whether or not to waive the oral examination is taken by the Chair of the Examining Board. Where the requirement for the oral examination has been waived, the examiners for the re-submission must provide a full independent and joint report.

(2) A student’s supervisors shall have the right to convey to the Chair of the Examining Board any concerns relevant to the student’s research project, the resulting reflective analysis or its examination which the supervisors consider the Board should be aware of prior to reaching a decision. The supervisors shall convey these concerns, in writing, both to the Chair and to the student as soon as practicable after the submission of the thesis to allow the student sufficient time prior to the examination of the thesis (including any oral examination) to consider the points made and prepare a response.

(3) In very exceptional circumstances, the Research Degrees Committee will allow the oral examination to take place by video link.

(4) The Chair should meet the student in private prior to the oral examination to ask the student whether there are any health or other personal circumstances, not previously notified via the supervisor, that might impact on the student’s performance in the oral examination.

(5) Following the oral examination, the Examining Board is required to provide a report on the examination and to make one of the following recommendations to the Research Degrees Committee:

A. that the student be approved for the degree of PhD by Published Works;

B. that the student be approved for the degree of PhD by Published Works subject to the satisfactory completion of such corrections and amendments to the reflective analysis as may be required by the Examining Board. The Examining Board may stipulate that the corrections made shall be scrutinised by either or both examiners prior to the award process being initiated. Normally, corrections shall be completed within 12 weeks from the date of official notification to the student of the outcome of the examination;
C. that the student be not approved for the degree of PhD by Published Works at this stage but that the student is allowed to modify the reflective analysis and re-submit it for examination for the degree of PhD by Published Works on one further occasion. The re-submission is to take place within a period not exceeding 6 months from the date of the official notification to the student of the outcome of the examination (this option is not available in the case of a student who has re-submitted a reflective analysis for examination);

D. that the student be not approved for the award of a degree.

Outcome C is not available in the case of a student who has re-submitted a reflective analysis for examination.

(6) Where examiners are unable to agree on a recommended outcome, the examiners must submit separate independent reports and recommendations to the Academic Office within 10 clear working days of the oral examination and the procedures described in the Code of Practice for Research Degrees (Section: Differences in Opinion Between Examiners) must be followed.

(7) If, following the submission of corrections under outcomes B, it turns out that a student has not appropriately addressed all the issues raised by the Examining Board, at the discretion of the Research Degrees Committee the student may be allowed one further period of a maximum 4 weeks from the date of official notification to complete successfully all the corrections required.

8.7.14 Unfair practice

(1) An Examiner, who, either in the course of the examining process or subsequently, considers that a student has engaged in unfair practice, shall immediately report the circumstances in writing to the Chair of the Examining Board concerned. For regulations for unfair practice in research degrees see the Code of Practice for Research Degrees (Section: Unfair Practice in Research Degrees).

8.7.15 Appeals and Complaints

(1) Students have the right to appeal against decisions concerning termination of study or against an outcome of the examination process, in accordance with the procedures set out in Section 8.8.

(2) Students have the right to make a complaint about any specific concern about the provision of the programme of study or academic services, in accordance with the procedures set out in Section 13.7. Students have the right to make a complaint about supervision, in accordance with the procedures set out in Section 8.9.

8.8 Academic Appeal Procedure for Postgraduate Research Degree Students

8.8.1 Definitions

(1) With regard to Academic Appeals for Postgraduate Research Degree Students the following definitions are used:

“Academic Appeal” - a request for the review of a decision that has implications for a student’s progression, assessment and award (for example a decision taken at an Annual Monitoring Board, a Probation Board or an Examining Board). For further information about the different progression, assessment and award stages see the relevant Code of Practice.
“Student” - any person enrolled or registered to follow a postgraduate research degree offered by the University.

(2) This procedure is only applicable to students of the University following postgraduate research degrees on the research element, who should note the following:

(i) Appeals which question the academic judgement of examiners shall not be admissible.

(ii) Appeals against informal assessments of the student’s work by the supervisor shall not be admissible.

(iii) Appeals where the grounds concern the inadequacy of supervision or other academic arrangements during the period of study shall not be admissible; such complaints should be pursued as soon as they arise, in accordance with the Procedure for Postgraduate Research Degree Students Complaints about Supervision.

(3) A separate procedure applies to students of the University following taught programmes of study and to MRes and Professional Doctorate students in Part One of the programme (see Section 13.6).

8.8.2 Grounds for Appeal

(1) A postgraduate research student is entitled to submit an Academic Appeal, based on one or more of the following:

(i) that there were procedural irregularities in the conduct of the Annual Monitoring Board/Probation Board/Examining Board or in written advice relating thereto of such a nature as to cause reasonable doubt as to whether the decision might have been different had they not occurred;

(ii) that there has been an arithmetical or other factual error in the decision published by the University;

(iii) that there is clear evidence of prejudice, bias, or inadequate assessment on the part of one or more of the members of the Annual Monitoring Board/Probation Board/Examining Board.

(2) Appeals which question the academic judgement of examiners or concern the inadequacy of supervision shall not be admissible.

(3) The retrospective reporting of exceptional personal circumstances which a student might reasonably have been expected to disclose prior to the meeting of the Annual Monitoring Board/Probation Board/Examining Board shall not be admissible.

8.8.3 Submitting an Appeal

(1) Any appeal shall be sent to the Academic Office on the University’s Postgraduate Research Degree Academic Appeal Form (Appendix GA10) and received not later than 15 clear working days after the official notification of the decision to be appealed. Simple notice of appeal given in writing by a student within the above deadline shall not be deemed to constitute an appeal and shall not be accepted. Appeals received after the above deadline will be deemed to be out of time and will not be considered unless there is independent evidence to show compelling reasons as to why the appeal was not submitted in a timely manner. The University will not consider any appeal submitted more than 12 months after the relevant Annual Monitoring Board/Probation Board/Examining Board meeting. Where an appeal is deemed out of time, the University will issue a Completion of Procedures Letter on request, noting the reason why the appeal was not considered and advising the appellant that the appellant may be able to
take the complaint to the Office of the Independent Adjudicator (OIA) for Higher Education (see paragraph 8.8.9 (1)).

(2) The Academic Office shall acknowledge receipt of an appeal normally within 5 clear working days. If a student submits an appeal which is not acknowledged within 5 clear working days, the student should contact the Academic Office to ensure that the appeal was actually received. Where appropriate to the circumstances of the case, the appeal shall be referred to the Chair of the Research Degrees Committee or other appropriate officer for verification. Additionally, if necessary, the Academic Office may require further enquiries to be carried out.

8.8.4 Initial Investigation

(1) The Chair of the Research Degrees Committee or other appropriate officer shall ensure that the facts are verified and upon completion of relevant enquiries, shall submit a report to the Academic Office setting out the full circumstances of the case and confirming the findings of the initial investigation.

(2) The Academic Office shall ask the Chair of the Annual Monitoring Board/Probation Board/Examining Board to arrange for the initial decision to be reconsidered if the report indicates that the original decision was inappropriate due to one or more of the following having occurred:

(i) there were procedural irregularities in the conduct of the Annual Monitoring Board/Probation Board/Examining Board or in written advice relating thereto;

(ii) there has been an arithmetical or other factual error;

(iii) there is clear evidence of prejudice, bias, or inadequate assessment on part of one or more of the members of the Annual Monitoring Board/Probation Board/Examining Board.

(3) The appellant shall be informed by the Academic Office of the action being taken to remedy the situation by means of an Appeal Outcome Letter (which may take the form of an electronic communication).

(4) If the report indicates that no error as defined in 8.8.4 (2) above has occurred, the Academic Office shall determine, based on the contents of the application for appeal and the written report from the Chair of Research Degrees Committee or other appropriate officer whether a clear case for appeal exists.

(5) The Academic Office may disallow any appeal normally within 20 clear working days of its receipt which fails to meet the above criteria for making an academic appeal or in which, following the written report, it is apparent that no clear case for appeal has been made. The appellant shall be informed that the appeal has been disallowed by means of an Appeal Outcome Letter (which may take the form of an electronic communication).

8.8.5 Postgraduate Research Degree Appeal Panel

(1) Periodically, Senate will identify a standing group of appropriately qualified and experienced staff from across the Faculties and Professional Services to serve as possible members of the Postgraduate Research Degree Appeal Panel.

(2) If it is decided that there is a clear case to be considered the appeal shall be referred to a Postgraduate Research Degree Appeal Panel consisting of three members from the standing group; a Chair and two further internal members. Where appropriate an external person may be appointed as an additional member of a Postgraduate Research Degree Appeal Panel. The Postgraduate Research Degree Appeal Panel shall normally meet within 25 clear working
days of receipt of the appeal. In the event that it takes longer to verify the facts to which the appeal refers, this period may be extended.

(3) No member of the Postgraduate Research Degree Appeal Panel shall come from a Faculty in which the appellant has studied or is studying. Staff should not agree to be a member of the Postgraduate Research Degree Appeal Panel if the appellant is known to them.

(4) The Postgraduate Research Degree Appeal Panel shall have delegated powers to act on behalf of the Senate.

(5) An appellant shall be offered a personal hearing by the Postgraduate Research Degree Appeal Panel and shall accordingly be informed in advance of the time and date of the meeting and that the appellant shall have the right to be accompanied, to hear all the evidence, and to call and question witnesses. The appellant may be accompanied by a person of the appellant’s choosing, and is required to inform the Secretary in writing in advance of the meeting whether the appellant intends to be accompanied. The accompanying person shall not normally contribute to the discussions, but the Postgraduate Research Degree Appeal Panel shall have the discretion to invite the accompanying person’s contribution if it believes that this will assist them in reaching a decision. Legal representation is not allowed. The appellant may nominate relevant witnesses to provide evidence which relates directly to the grounds of the appeal. Such witnesses shall be informed of the date, time and place that have been set for the appeal hearing but cannot be compelled to attend.

(6) If for reasons of distance or other significant matters (to be agreed by the Academic Office), physical attendance in person is not possible, the appellant will be invited to contribute via video link, audio link or to make an additional written submission. The appellant may not send another person to an Appeal Panel in the appellant’s stead. Should the appellant not attend the meeting of the Postgraduate Research Degree Appeal Panel and provided that all reasonable means have been taken to contact the appellant, the meeting shall proceed in the absence of the appellant.

(7) The Chair shall have discretion to declare inadmissible any matter introduced by the appellant or by any witness or person accompanying the appellant, if the appellant deems it not directly related to the contents of the appeal previously lodged in writing within the stipulated deadline.

(8) The Chair of the Postgraduate Research Degree Appeal Panel may require a member of staff from the appellant’s Faculty and/or the Chair of the Annual Monitoring Board/Probation Board/Examining Board to contribute to the hearing as witnesses and should ensure that any such individuals are informed of the date, time and place that have been set for the appeal hearing.

(9) The Postgraduate Research Degree Appeal Panel shall base its decisions on the evidence of the appellant’s submission and the testimony of any witnesses, together with any further evidence which it considers relevant. The Postgraduate Research Degree Appeal Panel, when considering its decision, shall meet in private session.

8.8.6 Outcomes of a Postgraduate Research Degree Appeal Panel

(1) The Postgraduate Research Degree Appeal Panel shall be empowered to take either of the following decisions:

a) to reject the appeal and uphold the original decision;
b) to uphold the appeal and to refer the case back to the Annual Monitoring Board/Probation Board/Examining Board for a review of the initial decision.

(2) In cases where an appeal is based on evidence of prejudice, bias, or inadequate assessment on the part of one or more of the members of the Annual Monitoring Board/Probation
Board/Examining Board, the Postgraduate Research Degree Appeal Panel may specify that
the composition of the Annual Monitoring Board/Probation Board/Examining Board is modified
to ensure that such prejudice, bias, or inadequate assessment does not reoccur.

(3) Where the case is referred back to the relevant Annual Monitoring Board/Probation
Board/Examining Board, the Postgraduate Research Degree Appeal Panel may, where
appropriate to the circumstances of the case, require an officer of the University to attend at
the meeting of the Annual Monitoring Board/Probation Board/Examining Board to ensure full
consideration of the Postgraduate Research Degree Appeal Panel’s decision.

(4) The Postgraduate Research Degree Appeal Panel may make recommendations for
consideration by the Academic Quality and Standards Committee and/or the Research
Degrees Committee as appropriate on any matter arising from the consideration of Appeals.

(5) A report, setting out attendance, a brief outline of the proceedings and the reasons for the
decisions of the Postgraduate Research Degree Appeal Panel shall be produced.

(6) In the case of paragraph 8.8.6 (1) a) above, the outcome of the appeal shall be communicated
to the appellant by means of an Appeal Outcome Letter, normally within 10 clear working days
of the meeting of the Postgraduate Research Degree Appeal Panel.

(7) In the case of paragraph 8.8.6 (1) b) above, the appellant shall be informed that the case has
been referred back to the Annual Monitoring Board/Probation Board/Examining Board and that
appellant will be informed of the revised decision of the Annual Monitoring Board/Probation
Board/Examining Board in due course. The report, including recommendations or advice
where appropriate to the circumstances of the case, together with all supporting
documentation, shall be sent to the Chair of the Annual Monitoring Board/Probation
Board/Examining Board for consideration by the Annual Monitoring Board/Probation
Board/Examining Board. The Annual Monitoring Board/Probation Board/Examining Board
shall normally meet within 10 clear working days of receipt of the Postgraduate Research
Degree Appeal Panel’s report. The subsequent decision of the Annual Monitoring
Board/Probation Board/Examining Board, together with a copy of a relevant extract from its
minutes, shall be sent to the Academic Office.

(8) On notification of the final decision of the Annual Monitoring Board/Probation Board/Examining
Board, the Academic Office may, in exceptional cases only, refer the case back to the Chair
of the Postgraduate Research Degree Appeal Panel for review of the procedures followed. If
it transpires that a serious procedural irregularity has occurred, the case may be referred to
the Senate for reconsideration.

(9) The final decision of the Annual Monitoring Board/Probation Board/Examining Board may, or
may not, alter the student’s current status. If the student’s current status is altered, the Academic
Office shall ensure that the student’s current status is correctly recorded. The appellant shall be
informed of the decision of the Annual Monitoring Board/Probation Board/Examining Board by
means of an Appeal Outcome Letter (which may take the form of an electronic communication)
normally within 10 clear working days of the meeting of the special Examining Board. There shall
be no right of appeal under the University’s internal procedures against the decision of an Annual
Monitoring Board/Probation Board/Examining Board where the case has been referred back by
a Postgraduate Research Degree Appeal Panel.

8.8.7 Review of Appeal Outcome

(1) On receipt of an Appeal Outcome Letter, if the appellant is not satisfied with the remedy
proposed following the initial investigation (paragraph 8.8.4 (3) above), or is not prepared to
accept the decision to disallow the appeal (paragraph 8.8.4 (5) above), or the decision of the
Postgraduate Research Appeal Panel to reject the appeal (paragraph 8.8.6 (6) above), or is
dissatisfied with the decision of the Annual Monitoring Board/Probation Board/Examining
Board following an appeal which has been upheld (paragraph 8.8.6 (9) above), the appellant may request that the appeal outcome be reviewed by the Deputy Vice-Chancellor (Academic) or nominee.

(2) A request for a review may only be made on one or more of the following grounds:

a) irregularities in the conduct of the academic appeals procedure, which are of such a nature as to cause reasonable doubt whether the same decision would have been reached had they not occurred;

b) the existence of relevant evidence and there are compelling reasons why this evidence was not provided earlier in the appeals procedure;

c) the appeal outcome was not reasonable given the circumstances of the case.

(3) A request for review of the appeal outcome shall be sent to the Academic Office on the Request for Review of Appeal Outcome Form (Appendix GA24) and must be received by not later than 15 clear working days after the notification of the appeal outcome. Simple notice of a desire to request a review by an appellant within the above deadline shall not be deemed to constitute a formal request for review and shall not be accepted. The appellant shall provide full details of the grounds on which the request for a review is being made. A request for review received after the above deadline will be deemed to be out of time and will not be considered unless there is independent evidence to show compelling reasons as to why the request for review was not submitted in a timely manner. Where a request for review is deemed out of time, the University will issue a Completion of Procedures Letter on request, noting the reason why the request for review was not considered and advising the appellant that the appellant may be able to take the complaint to the Office of the Independent Adjudicator (OIA) for Higher Education (see paragraph 8.8.9 (1)).

(4) If no request for review is received within 15 clear working days, the University will assume that the appellant does not wish to request a review. Where an appellant subsequently requests a Completion of Procedures Letter, the University will issue a Completion of Procedures Letter, noting that the appellant did not engage with the request for review procedures in a timely manner and advising the appellant that the appellant may be able to take the complaint to the Office of the Independent Adjudicator (OIA) for Higher Education (see paragraph 8.8.9 (1)).

(5) Receipt of the request for review shall be acknowledged normally within 5 clear working days. If a student submits a request for review which is not acknowledged within 5 clear working days, the student should contact the Academic Office to ensure that the request for review was actually received.

(6) The Deputy Vice-Chancellor (Academic) or nominee shall review the request to ascertain if the request has been made on permissible grounds and if a clear case has been made. The Deputy Vice-Chancellor (Academic) or nominee may refuse any request which is not based on the grounds stated above or in which it is apparent that no clear case to review the appeal outcome has been made. The appellant shall be informed by means of a Completion of Procedures Letter that the request for review has been rejected and that the original appeal outcome stands. The appellant will be advised that the appellant may be able to take the complaint to the Office of the Independent Adjudicator (OIA) for Higher Education (see paragraph 8.8.9 (1)).

(7) If it is determined that the request has been made on permissible grounds and that a clear case for reviewing the appeal outcome has been made, the Deputy Vice-Chancellor (Academic) or nominee shall consider the request on the grounds indicated by the appellant.

(8) In reaching a decision on the request, the Deputy Vice-Chancellor (Academic) or nominee shall base a decision on the evidence of the appellant's submission together with any further evidence which the Deputy Vice-Chancellor (Academic) or nominee considers relevant.
(9) The Deputy Vice-Chancellor (Academic) or nominee shall be empowered to take one of the following decisions:

a) to uphold the original appeal outcome;
b) to refer the appeal back to the Postgraduate Research Degree Appeal Panel;
c) to instruct that appropriate action be taken to remedy the situation.

(10) The decision of the Deputy Vice-Chancellor (Academic) or nominee shall be final, and the matter shall, therefore, be regarded as closed. There shall be no discussion of the decision of the Deputy Vice-Chancellor (Academic) or nominee with the appellant or any other person.

(11) In the case of paragraph 8.8.7 (9) a) above, the decision of the Deputy Vice-Chancellor (Academic) or nominee shall be communicated to the appellant by means of a Completion of Procedures Letter, normally within 15 clear working days of receipt of the request for review and the appellant will be advised that the appellant may be able to take the complaint to the Office of the Independent Adjudicator (OIA) for Higher Education (see paragraph 8.8.9 (1)).

(12) In the case of paragraph 8.8.7 (9) b) above, the appellant shall be informed that the case has been referred back to the Postgraduate Research Degree Appeal Panel and that the procedures set out in Sections 8.8.5 and 8.8.6 will be followed. There shall be no right to request a further review of the appeal outcome as set out in a revised Appeal Outcome Letter issued in accordance with paragraphs 8.8.6 (6) or 8.8.6 (9) where the case has been referred back after review by the Deputy Vice-Chancellor (Academic) or nominee. If the Postgraduate Research Degree Appeal Panel rejects the appeal, the revised Appeal Outcome Letter will be incorporated into a Completion of Procedures Letter. In other cases, on receipt of the revised Appeal Outcome Letter, if the appellant is dissatisfied with the outcome, the appellant may request a Completion of Procedures Letter be issued which will advise the appellant that the appellant may be able to take the complaint to the Office of the Independent Adjudicator (OIA) for Higher Education (see paragraph 8.8.9 (1)).

(13) In the case of paragraph 8.8.7 (9) c) above, the appellant shall be informed of the action being taken to remedy the situation by means of a revised Appeal Outcome Letter (which may take the form of an electronic communication). There shall be no right to request a further review of the appeal outcome as set out in the revised Appeal Outcome Letter. On receipt of the revised Appeal Outcome Letter, if the appellant is dissatisfied with the outcome, the appellant may request a Completion of Procedures Letter be issued which will advise the appellant that the appellant may be able to take the complaint to the Office of the Independent Adjudicator (OIA) for Higher Education (see paragraph 8.8.9 (1)).

8.8.8 Status of students who have submitted appeals

(1) Where an appeal has been submitted, the original decision of the relevant Annual Monitoring Board/Probation Board/Examining Board shall stand until the final outcome of the Academic Appeal Procedure is known.

8.8.9 Completions of Procedures Letter Independent Review

(1) Complaints to the Office of the Independent Adjudicator (OIA) for Higher Education must be made within 12 months of the effective date of the Completion of Procedures Letter. The effective date of a Completion of Procedures Letter will normally be the date on which it is issued. Where a request for review is deemed out of time or where a Completion of Procedures Letter is requested more than 25 clear working days after the notification of the final decision, the effective date of any Completion of Procedures Letter will normally be the date upon which the final decision was made. Full details of the procedure will be available from the Academic Office or from the OIA website: www.oiahe.org.uk.
8.8.10 Reporting on appeals

(1) The Academic Office shall report annually to the Senate on the operation of these procedures in a form that maintains confidentiality and enables the University to reflect upon lessons learnt from student appeals and disseminate advice accordingly.

8.9 Procedure for Postgraduate Research Student Complaints about Supervision

8.9.1 Definitions

(1) For the purposes of this procedure, a complaint about supervision is defined as the expression of a specific concern about the supervisory arrangements or supervision received by a postgraduate research degree student during the student’s candidature. The procedure does not cover complaints against the decisions of Examining Boards or disputes with persons not employed by or subject to the jurisdiction of the University.

(2) The term “postgraduate research student” refers to any person enrolled or registered to follow a postgraduate research degree offered by the University and persons who has been a postgraduate research student of the University for up to 3 months after the person has left the University. This procedure applies equally to complaints made by individual students and complaints made by groups of students.

(3) This procedure does not apply to student complaints about the behaviour or conduct of other students. Such complaints should be raised with the Director of Student Services in the first instance. The Director of Student Services (or nominee) shall take the matter forward under the appropriate University procedure and shall inform the complainant of the action being taken.

(4) This procedure does not apply to postgraduate research student complaints about related academic services or related support services. Such complaints are covered by the procedures for student complaints set out in Chapter 13.

(5) In the event that a complaint relates wholly to the personal conduct of an individual member of staff, the matter shall be referred to the University’s Student Harassment and Bullying Policy.

(6) This procedure is designed to enable postgraduate research students to raise legitimate concerns about supervision without fear of disadvantage or recrimination and to enable the University, in turn, to be able to investigate such concerns in full. The University is able to give formal consideration to complaints channelled through the Students’ Union. However, the University is unable to respond or give formal consideration to complaints by third parties in any other circumstances or to anonymous complaints under this procedure.

(7) This procedure is intended to incorporate the principles of natural justice and procedural fairness.

8.9.2 Informal Complaints Procedure

(1) Most complaints about supervision can be resolved simply and swiftly in an informal manner, at a local level, by discussing the issue or concern with the student’s Director of Studies, the Faculty’s / School’s Director of Research Degrees, the Head of School, or the relevant Dean of Faculty. The University encourages students to raise matters of concern as soon as they arise. The University seeks, in turn, to find effective remedies to those concerns as quickly as possible and with minimum disruption.
8.9.3 Formal Complaints Procedure

(1) If an issue or concern cannot be resolved through the informal complaints procedure, a student may submit a formal complaint in writing the Formal Complaint Form (Appendix GA11) to the Academic Office. Formal complaints must be received no more than 1 month after the informal procedure has ended (where appropriate) and normally no more than 6 months after the main issues complained about occurring. Formal complaints received after these deadlines will be deemed to be out of time and will not be considered unless there is independent evidence to show compelling reasons as to why the formal complaint was not raised in a timely manner. The University will not consider any complaint where the main issues complained about took place more than 3 years before the complaint is received. Where a complaint is deemed out of time, the University will issue a Completion of Procedures Letter on request, noting the reason why the complaint was not considered and advising the complainant that the complainant may be able to take the complaint to the Office of the Independent Adjudicator (OIA) for Higher Education (see paragraph 8.9.5 (1)).

(2) The Academic Office will acknowledge receipt of the complaint normally within 5 clear working days. If a student submits a complaint which is not acknowledged within 5 clear working days, the student should contact the Academic Office to ensure that the complaint was actually received.

(3) In the event that a complaint relates specifically to the personal conduct of an individual member of staff, the procedures as set out in paragraph 8.9.1 (5) above will be followed.

(4) The Academic Office will forward the complaint to the relevant Dean of Faculty or nominee. The relevant Dean of Faculty or nominee shall raise the matter with any appropriate member(s) of staff and shall submit an initial report to the Academic Office within 15 clear working days which sets out the findings of the investigation and, where appropriate, makes recommendations on possible remedies to the complaint.

(5) On receipt of the initial report from the Dean of Faculty or nominee, the Academic Office may request a meeting with the complainant to clarify statements made in the formal complaint, to confirm the details of the complainant’s stated desired outcome, and to share the main points in the initial report. If for reasons of distance or other good reason, physical attendance in person is not possible, the complainant shall be invited to communicate via alternative means. Legal representation is not allowed. On completion of the investigation a final complaint investigation report shall be produced.

(6) The final complaint investigation report shall be submitted for consideration by the Dean of Quality and Standards (or other member of staff of equivalent seniority where there may exist a perceived conflict of interest with respect to the subject of the complaint or the individuals concerned).

(7) The final complaint investigation report will normally be submitted to the Dean of Quality and Standards within 30 clear working days of receipt of the complaint. If the final complaint investigation cannot be completed within this time period, the Dean of Quality and Standards and the complainant shall be informed accordingly and provided with an estimated completion date.

(8) The Dean of Quality and Standards shall, upon receipt of the report, consider the findings and determine whether to uphold, partially uphold or reject the complaint. In giving due consideration to the complaint, the Dean of Quality and Standards shall have discretion to consult, as appropriate, with relevant colleagues and/or the complainant.

(9) The final decision on the complaint shall be communicated to the complainant by means of a Complaint Outcome Letter (which may take the form of an electronic communication) no more than 5 clear working days after the receipt of the report. The Complaint Outcome Letter should
include a brief explanation of reasons for the decision and, if appropriate, details of the proposed remedy.

(10) Other officers of the University shall be informed of the decision where appropriate.

8.9.4 Review of Complaint Outcome

(1) On receipt of a Complaint Outcome Letter, if the complainant is not satisfied with the outcome or the remedy proposed, the complainant may request that the complaint outcome be reviewed by the Deputy Vice-Chancellor (Academic) or nominee.

(2) A request for a review may only be made on one or more of the following grounds:

a) irregularities in the conduct of the complaints procedure, which are of such a nature as to cause reasonable doubt whether the same decision would have been reached had they not occurred;

b) the existence of relevant evidence and there are compelling reasons why this evidence was not provided earlier in the complaints procedure;

c) the complaint outcome was not reasonable given the circumstances of the case.

(3) A request for review of the complaint outcome shall be sent to the Academic Office on the Request for Review of Complaint Outcome Form (Appendix GA25) and must be received not later than 15 clear working days after the notification of the complaint outcome. Simple notice of a desire to request a review by a student within the above deadline shall not be deemed to constitute a formal request for review and shall not be accepted. The complainant shall provide full details of the grounds on which the request for review is being made. A request for review received after the above deadline will be deemed to be out of time and will not be considered unless there is independent evidence to show compelling reasons as to why the request for review was not submitted in a timely manner. Where a request for review is deemed out of time, the University will issue a Completion of Procedures Letter on request, noting the reason why the request for review was not considered and advising the complainant that the complainant may be able to take the complaint to the Office of the Independent Adjudicator (OIA) for Higher Education (see paragraph 8.9.5 (1)).

(4) If no request for review is received within 15 clear working days, the University will assume that the complainant does not wish to request a review. Where a complainant subsequently requests a Completion of Procedures Letter, the University will issue a Completion of Procedures Letter, noting that the complainant did not engage with the request for review procedures in a timely manner and advising the complainant that the complainant may be able to take the complaint to the Office of the Independent Adjudicator (OIA) for Higher Education (see paragraph 8.9.5 (1)).

(5) Receipt of the request for review shall be acknowledged normally within 5 clear working days. If a student submits a request for review which is not acknowledged within 5 clear working days, the student should contact the Academic Office to ensure that the request for review was actually received.

(6) The Deputy Vice-Chancellor (Academic) or nominee shall review the request to ascertain if the request has been made on permissible grounds and if a clear case has been made. The Deputy Vice-Chancellor (Academic) or nominee may refuse any request which is not based on the grounds stated above or in which it is apparent that no clear case to review the complaint has been made. The complainant shall be informed by means of a Completion of Procedures Letter that the request for review has been rejected and that the original complaint outcome stands. The complainant will be advised that the complainant may be able to take the complaint to the Office of the Independent Adjudicator (OIA) for Higher Education (see paragraph 8.9.5 (1)).
(7) If it is determined that the request has been made on permissible grounds and that a clear case for reviewing the complaint has been made, the Deputy Vice-Chancellor (Academic) or nominee shall consider the request on the grounds indicated by the complainant.

(8) In reaching a decision on the request, the Deputy Vice-Chancellor (Academic) or nominee shall base a decision on the evidence of the complainant’s submission together with any further evidence which the Deputy Vice-Chancellor (Academic) or nominee considers relevant.

(9) The Deputy Vice-Chancellor (Academic) or nominee shall be empowered to take one of the following decisions:

a) to uphold the original complaint outcome;
b) to refer the complaint back to the formal complaint procedure;
c) to offer a modified outcome and remedy.

(10) The decision of the Deputy Vice-Chancellor (Academic) or nominee shall be final, and the matter shall, therefore, be regarded as closed. There shall be no discussion of the decision of the Deputy Vice-Chancellor (Academic) or nominee with the complainant or any other person.

(11) The Deputy Vice-Chancellor (Academic) or nominee may make recommendations for consideration by the Academic Quality and Standards Committee or Senate as appropriate on any matters arising from the consideration of appeals.

(12) In the case of paragraph 8.9.4 (9) a) above, the decision of the Deputy Vice-Chancellor (Academic) or nominee shall be communicated to the complainant by means of a Completion of Procedures Letter, normally within 15 clear working days of receipt of the request for review and the complainant will be advised that the complainant may be able to take the complaint to the Office of the Independent Adjudicator (OIA) for Higher Education (see paragraph 8.9.5 (1)).

(13) In the case of paragraph 8.9.4 (9) b) above, the complainant shall be informed that the case has been referred back to the formal complaint procedure and that the procedures set out in Sections 8.9.3 (5) to (10) will be followed. There shall be no right to request a further review of the complaint outcome as set out in a revised Complaint Outcome Letter issued in accordance with paragraphs 8.9.3 (9) where the case has been referred back after review by the Deputy Vice-Chancellor (Academic) or nominee. On receipt of the revised Complaint Outcome Letter, if the complainant is dissatisfied with the outcome, the complainant may request a Completion of Procedures Letter be issued which will advise the complainant that the complainant may be able to take the complaint to the Office of the Independent Adjudicator (OIA) for Higher Education (see paragraph 8.9.5 (1)).

(14) In the case of paragraph 8.9.4 (9) c) above, the complainant shall be informed of the modified outcome and remedy by means of a revised Complaint Outcome Letter (which may take the form of an electronic communication). There shall be no right to request a further review of the complaint outcome as set out in the revised Complaint Outcome Letter. On receipt of the revised Complaint Outcome Letter, if the complainant is dissatisfied with the outcome, the complainant may request a Completion of Procedures Letter be issued which will advise the complainant that the complainant may be able to take the complaint to the Office of the Independent Adjudicator (OIA) for Higher Education (see paragraph 8.9.5 (1)).

8.9.5 Completion of Procedures and Independent Review

(1) Complaints to the Office of the Independent Adjudicator (OIA) for Higher Education must be made within 12 months of the effective date of the Completion of Procedures Letter. The effective date of a Completion of Procedures Letter will normally be the date on which it is issued. Where a request for review is deemed out of time or where a Completion of Procedures Letter is requested more than 25 clear working days after the notification of the final decision,
the effective date of any Completion of Procedures Letter will normally be the date upon which the final decision was made. Full details of the procedure are available from the Academic Office or from the OIA website: www.oiahe.org.uk.

8.9.6 Legal proceedings

(1) In the event of a student commencing any legal proceedings or in the event of proceedings being commenced against the complainant in relation to a complaint, the above procedures may be suspended or abandoned at the University's discretion.

8.9.7 Reporting on complaints

(1) The Academic Office shall report annually to Senate and the Research Degrees Committee on the operation of these procedures in a form that maintains confidentiality and enables the University to reflect upon lessons learnt from students’ complaints and disseminate advice accordingly.