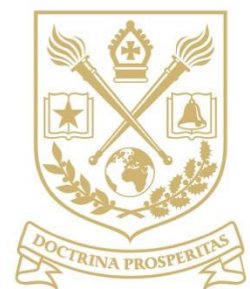


University Senate

# Regulatory Framework

2023/2024



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## Chapter 4

### Research Degrees

#### General Requirements

##### Research Degrees

- 4.1 The degrees of Master of Research (MRes), Master of Philosophy (MPhil), Doctor of Business Administration (DBA), Professional Doctorate (DProf), Engineering Doctorate (EngD) and Doctor of Philosophy (PhD) shall be granted to registered research degree candidates who successfully complete an approved programme of supervised research.

##### The Doctoral College

- 4.2 The Doctoral College has been established by Senate to manage all matters relating to the registration, administration, supervision, assessment and progression of research and professional doctorate degree candidates, except as where otherwise provided for in the University's Regulations.
- 4.3 All matters relating to all doctoral candidates shall be dealt with in accordance with the procedures and notes of guidance issued periodically by the Doctoral College. The terms of reference and membership of the Doctoral College Board is included in the **Committee Handbook**.

##### Programmes of Study

- 4.4 Programmes of supervised research may be proposed in any field of study subject to the requirement that the proposed programme is capable of leading to scholarly research and to its presentation for assessment by appropriate examiners.
- 4.5 Each proposed programme of supervised research will be considered on its merits and without reference to the concerns or interests of any associated funding body (see Regulation 4.9).
- 4.6 In considering whether to approve an application for registration as a research degree or professional doctorate candidate, the Chair of the Doctoral College Board will require to be satisfied about the following:
- the suitability of the applicant concerned to undertake research, including the applicant's qualifications;
  - the viability of the proposed programme of research;
  - the adequacy of the proposed supervision arrangements and their sustainability (see Regulation 4.56-4.66);
  - the adequacy and appropriateness of the facilities and resources available to support the proposed research;

## **Creative Work**

- 4.7 Where an applicant for registration proposes to undertake a programme of work in which the person's own creative work will form, as a point of origin or reference, a significant part of the intellectual inquiry, the application for registration must set out the intended form of the final submission and of the final assessments. An applicant for registration may propose to undertake a programme of research leading to a research degree in which the principal focus will be the preparation of a scholarly edition of a text or texts, musical or choreographic work, or other original artefacts.

## **Group and Funded Projects**

- 4.8 Where it is proposed that the work should form part of a larger group project, each application must clearly state how the proposed work shall in itself be distinguishable from the larger group project for the purposes of assessment and how it will be appropriate for the award being sought. The applicant must indicate clearly the specific contribution to be made and its relationship to the group project.
- 4.9 Where a proposed programme of supervised research forms part of a funded project, the terms of the funding must not work against the fulfilment of the objectives of the programme or the University's requirements for the award concerned (MRes, MPhil, DBA, DProf, EngD or PhD).

## **Concurrent Studies**

- 4.10 A person registered for a research degree may be permitted to register for another programme of study concurrently, provided that either the research degree registration or the other programme of study is in the part-time mode and that the dual registration will not inhibit the student's undertaking the programme of supervised research.

## **University Code of Ethics and Guidelines for Ethical Practice in Research and Scholarship**

- 4.11 All staff and students involved in research are required to comply with the University's Code of Ethics and Guidelines for Ethical Practice in Research and Scholarship.

## **Application and Registration**

### **Categories of Registration**

- 4.12 A person may apply for one of the following categories of registration:
- the degree of MRes only;
  - the degree of MRes with the intention to transfer to PhD (MRes/PhD);
  - the degree of MPhil only;
  - the degree of MPhil with the intention of transfer to PhD (MPhil/PhD);

- exceptionally the degree of PhD direct where the candidate is considered to have appropriate research experience;
  - the degree of PhD by publication;
  - the degree of DBA only
  - the degree of DProf only
  - the degree of EngD only
- 4.13 The minimum requirements for an applicant for registration for the degree of MRes or MPhil or for the degree of MRes/MPhil with the intention of transfer to PhD shall be a first or second class honours degree of a university in the United Kingdom, or of an equivalent qualification.
- 4.14 Applications for registration from persons holding qualifications other than those specified in (Regulation 4.13) (above) shall be considered on their merits and in relation to the nature and scope of the programme of work proposed. Any person submitting an application in accordance with this regulation shall include in the application the names of two suitable persons whom the University may consult concerning the applicant's attainment and fitness to undertake research.
- 4.15 An applicant who does not hold the normally expected qualifications (see Regulation 4.13) must provide verifiable evidence of ability and background knowledge in relation to the proposed programme of supervised research. Details of professional experience, publications, written reports or other appropriate evidence of accomplishment should be submitted with the application.
- 4.16 Direct registration for the degree of PhD may also be approved, at the discretion of the University of a person who holds an MRes/MPhil degree of a United Kingdom University, or an MRes/MPhil degree of equivalent standard of a non-UK University, provided that the MRes/MPhil degree is in a subject area which is appropriate to the proposed programme of work.
- 4.17 Exceptionally, direct registration for the degree of PhD may also be approved, at the discretion of the University of a person who, although not the holder of an MRes/MPhil degree, is the holder of an exceptionally high quality honours degree or taught master's degree (or equivalent) in an appropriate discipline, AND who has appropriate research experience at postgraduate level which has resulted in significant peer-reviewed publications, and where verifiable evidence of accomplishment is supplied.
- 4.18 Direct registration for the degree of DBA, EngD or DProf is subject to the approval at the discretion of the University of a person who holds an appropriate Master's degree or equivalent from a UK University and is in appropriate professional employment or has verifiably granted access to an appropriate professional setting.

## Research Degrees by Publication/Portfolio - Eligibility

- 4.19 The University provides two routes to the award of PhD by Research Publication/Portfolio; candidates may either submit a portfolio of **retrospective** work, or may work **prospectively** towards a PhD award by pursuing a publication strategy instead of a traditional thesis-based submission.
- 4.20 Candidates pursuing the retrospective route must be members of academic staff who have completed any probationary period, or alumni of the University of the West of Scotland. Staff from UWS partner<sup>1</sup> organisations at the date of application for registration is eligible to apply.
- 4.21 For the retrospective route candidates should be active researchers in their field of expertise and they should submit material published not more than ten years prior to the date when they are given permission to register for the degree.
- 4.22 For the prospective route candidates are registered for PhD by publication or MPhil/PhD and are expected to follow the standard application process. During their studies candidates are expected to publish several significant peer-reviewed research outputs along with the submission of an extended narrative (see Regulations 4.25 and 4.26), which draws together the published work into a single thesis.
- 4.23 Candidates will be allowed to register for the degree only with the approval of the Chair of the Doctoral College Board to which all applications must be made.
- 4.24 Permission to register will not normally be granted to candidates who already possess a PhD.

### Application for PhD by Publication (Retrospective)

- 4.25 The application should consist of:
- a) a list of the published outputs to be considered (minimum of 4) on which the proposal is based;
  - b) a preliminary statement giving details of where and when the work was carried out;
  - c) an outline of not more than 3,000 words of the contribution of the published output to the advancement of knowledge in the field of study;
  - d) a statement making clear the contribution of the candidate to the outputs included where the application is based on jointly published work.

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<sup>1</sup> A partner organisation will be one which has a formal agreement with the University as recorded in the Register of Collaborative Activities and Stakeholder Agreements.



## Application for PhD by Publication (Prospective)

- 4.26 The application should consist of an outline of the proposed schedule of research publications contextualised by a coherent narrative. Where the application is based on work that will be jointly published a statement should be included making clear the contribution of the candidate to the outputs included.

## Language Requirements

- 4.27 Where English is not the first language, applicants for a higher degree by research (all degrees listed in Regulation 4.12) must be able to satisfy the University of their competence in English with an overall IELTS comparable score of 6.5 or above with a minimum of 6.0 in each component.
- 4.28 All theses submitted in partial fulfilment of the University's requirements for the award of an MRes or MPhil or PhD, DBA, DProf, EngD and the oral examination, must be written, defended and conducted in English.
- 4.29 Exceptionally, permission may be given for a thesis to be presented in a language other than English and only when the subject matter of the research involves languages and related studies. In such cases this will be made clear on the student's transcript. The abstract must be in English.
- 4.30 Permission to present a thesis in a language other than English shall be sought at the same time as the application for registration.

## Modes of Study

- 4.31 Candidates for degrees as set out in Regulation 4.12 may be registered on a full-time or on a part-time basis.
- 4.32 Students may apply to move between full-time and part-time modes of registration within the normal period of registration but may not be permitted to change status during the final year of the normal period of registration. Changes to registration status will be implemented with immediate effect, with relevant fee changes implemented at the beginning of the next year of study. The expected end date will be calculated on a pro-rata basis.

## Registration by Distance Mode

- 4.33 A person proposing to undertake a programme of supervised research outwith the University may be registered as a research degree student on a Distance mode if:
- there is satisfactory evidence that the facilities available to the applicant within and outwith the University will meet the University's requirements; and
  - the arrangements for supervision enable frequent and substantial contact between the student and the supervisor(s) based in the University;

- 4.34 By enrolment, the student or the student's sponsor or host institution accepts responsibility for:
- the cost of any programme of related studies;
  - the cost of any English language courses required;
  - the cost of facilities such as email and computing;
  - all costs associated with the visit/s to the University and of the Viva examination;
  - the cost of any visit approved as necessary by the University of the West of Scotland to the host institution or workplace by the Lead Supervisor.

### Periods of Registration

- 4.35 The normal and maximum periods of registration of research degree students shall be:

<b><i>Degree</i></b>		<b><i>normal</i></b>	<b><i>maximum</i></b>
MRes	Full Time	12 months	24 months
	Part Time	24 months	36 months
MPhil	Full Time	24 months	36 months
	Part Time	48 months	60 months
MRes/PhD, MPhil/PhD inc PhD Direct and PhD by prospective publication	Full Time	36 months	48 months
	Part Time	72 months	84 months
PhD by retrospective publication	Full Time	12 months	24 months
	Part Time		
DBA	Full Time	36months	48 months
	Part Time	48 months	60 months
DProf/EngD	Part time	48 months	84 months

- 4.36 It may be possible to complete a programme of study within a shorter time than the normal duration (listed in Regulation 4.35). The minimum duration of studies will be 2/3 of the normal period of registration, subject to the fees being paid to cover the normal duration.
- 4.37 A student may apply for an extension to the normal duration, justifying their request on academic grounds, but may not be registered for longer than the maximum period of registration. Students will be able to apply for one or more periods of extension up to a maximum of 12 months in total for full-time, or 24 months in total for part-time registration.
- 4.38 A student that exceeds the maximum period of registration and has their registration exceptionally extended shall be subject to an annual Completion Fee, as set and published annually in the Fee Schedule.
- 4.39 Periods of authorised interruption of studies will not be included in the period of registration (see Regulation 4.85).

- 4.40 Where an applicant has previously undertaken research as a registered research degree student, a shorter period of registration than that required by Regulation 4.35, which takes account of all or part of the time already spent by the applicant on that research, may be approved.
- 4.41 Subject to a request supported with verifiable evidence, the chair of the Doctoral College may approve a 6-months extension to the maximum period of registration where a student, having completed a transfer to PhD, subsequently decides to submit their thesis to be examined for an MPhil qualification and has exceeded the maximum period of registration as listed in Regulation 4.35.

### **Changes in Registration**

- 4.42 Where there is evidence that a programme of supervised research is proceeding exceptionally well, the period of registration may be shortened from that required by Regulation 4.35.
- 4.43 Where a research degree student is prevented, by verifiable medical reasons and other reasons outside of their control, from making progress with the programme of supervised research, the registration may be interrupted (See Regulation 4.85).
- 4.44 Any change in the programme of supervised research being undertaken by a registered research degree student must be notified to the Chair of the Doctoral College Board. Approval must be obtained before the change is implemented for any substantial changes, including mode of study, interruptions, extensions, change of scope and change of supervisory arrangements.
- 4.45 Where a research degree student discontinues the programme of supervised research, the withdrawal of registration must be reported to the Chair of the Doctoral College Board.
- 4.46 Where the Chair of the Doctoral College Board considers that progress has been inadequate and that the research programme is unlikely to lead to a successful outcome within a reasonable time, registration may be terminated. See Regulation 4.83.

### **Confidentiality at Application Stage**

- 4.47 Where, because of the nature of the programme of supervised research or for other good cause, there is a need for a programme of research or thesis to remain confidential, approval for confidentiality should normally be sought at same time as the submission of the application for registration.
- 4.48 When the need for confidentiality emerges at a subsequent stage, a special application for the thesis to remain confidential after submission shall be made to the Chair of the Doctoral College Board immediately.

- 4.49 The period for which a thesis may remain confidential shall be agreed at the time of application.

### **Grounds for Confidentiality**

- 4.50 An application for a thesis to remain confidential (see also Regulation 4.174) should only be made when the confidential nature of the candidate's programme of supervised research is such as to preclude the thesis being made freely available in the libraries of the University and of any collaborating establishment(s) and, in the case of a DBA, EngD, DProf or PhD thesis, the British Library.
- 4.51 The Chair of the Doctoral College Board in consultation with the Head of Business Innovation will only approve an application for confidentiality in order to enable protection of sensitive material and for the purpose of protecting intellectual property rights. The University will not approve confidentiality in order to protect research leads.
- 4.52 Approval will be given for the thesis to remain confidential for a maximum of two years, but exceptionally, the Chair of the Doctoral College Board may approve a longer period of confidentiality. Conversely, where a shorter period would be adequate, the Chair of the Doctoral College Board shall not automatically approve a two-year period.

### **External Collaboration**

- 4.53 A programme of supervised research leading to the award of a research degree of the University may be undertaken in collaboration with an appropriate external industrial, commercial, professional or research establishment.
- 4.54 Formal collaboration may involve the research degree student's use of facilities and other resources in the collaborating establishment, as well as the University.
- 4.55 The name of any proposed collaborating establishment(s) accompanied by a letter of support shall be submitted with the application for registration, from each collaborating establishment, except where collaboration is to be an integral part of the project concerned.

### **Supervision**

- 4.56 Each registered research degree student shall normally have at least two but not more than three supervisors.
- 4.57 One Supervisor shall be designated as the Lead Supervisor with the responsibility for supervising the student on a regular and frequent basis. There will be a statement of an agreement at confirmation of registration between the Lead Supervisor and the student as to an appropriate specified frequency of contact.

- 4.58 For students studying on a distance-learning basis one member of the supervisory team or a designated adviser will normally be based in the student's local area.

### **Composition of the Supervisory Team<sup>2</sup>**

- 4.59 The supervisory team shall include members with:
- a research degree equivalent to, or exceeding, the degree being supervised;
  - experience of supervision of at least one postgraduate research student to successful completion at a UK University;
  - experience of the Research Degree Regulations and procedures of the University of the West of Scotland.
- 4.60 At least one member of the supervisory team shall be experienced in research in the general area of the candidate's thesis and have experience as a specialist in the topic(s) to be investigated.
- 4.61 For research degrees by publication (retrospective) an adviser (corresponding to the 'Lead Supervisor' in the conventional PhD programme) from within the University will be appointed at registration to advise the candidate on the selection, coherence and quality of the portfolio of research work to be submitted and on the nature of the accompanying abstract and critical review. The research adviser will be an active researcher with PhD examining experience.

### **Appointment and Eligibility of Supervisors**

- 4.62 It is the responsibility of the Dean of School or nominee to allocate a Lead Supervisor and other Supervisors and the proposed supervision arrangements must be submitted for approval with the application for registration. See Regulation 4.6.
- 4.63 Emeritus Professors, honorary and visiting appointees who are active in research in the field of study, recognised supervisors of the University and appropriate staff in partner organisations (see Regulation 4.59 footnote) as outlined in the collaborative/supervision agreement may be appointed to the supervisory team in line with the criteria in Regulation 4.59 above.
- 4.64 For Doctorate programmes that include a taught component, arrangements for supervision should be made in conjunction with the programme leader.

### **Advisers**

- 4.65 In addition to the supervisors, an adviser or advisers may be appointed to contribute particular specialist knowledge or a link with an external organisation.

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<sup>2</sup> Not all supervisors have to meet all the criteria, but the team as a whole needs to cover the criteria in 4.59

## **Changes in Supervision Arrangements**

- 4.66 Approval must be obtained from the Chair of the Doctoral College Board for any changes in the supervision arrangements.

## **Progress and Transfer**

### **General Requirements**

- 4.67 The Doctoral College Board monitors progress and applications for transfer of registration via regular progress reports.

### **Engagement with Studies**

- 4.68 A full-time research degree candidate shall normally be required to devote, on average, at least 35 hours per week to the programme of supervised research.
- 4.69 A part-time research degree candidate shall normally be required to devote, on average, at least 20 hours per week to the programme of supervised research.
- 4.70 Any person registered on a distance mode in accordance with this regulation shall be expected to engage in appropriate training, evaluation and progression events and to confirm the frequency and mode of contact with their Lead Supervisor. As part of the delivery of the research programme, distance students are expected to visit the University at least once a year for a period of intensive supervision.

### **Internal Assessor**

- 4.71 Each research degree candidate shall be appointed an independent, Internal Assessor at the outset of the research component. The Internal Assessor will be appointed for the duration of the research programme and will assess student progress reports and the transfer of registration from MRes or MPhil to PhD at the review stage.
- 4.72 The Internal Assessor shall not be any member of the candidate's approved supervisory team and shall not be the Internal Examiner for the candidate. Recognised Supervisors of the University may be appointed as Internal Assessors.
- 4.73 The Internal Assessor is responsible for considering the submitted progression reports and discussing the candidate's progress at an annual panel review arranged by the Lead Supervisor.
- 4.74 The Internal Assessor will report to the Chair of the Doctoral College Board on the candidate's progress and continued registration.

## Progress Reports

- 4.75 Students are required to submit progress reports in conjunction with their Lead Supervisor and to attend an annual progress panel interview which will be formally assessed.
- 4.76 Progress reports shall include:
- a review and discussion of the work already undertaken; and
  - a statement of the intended further work, including details of the original contribution to knowledge which is likely to emerge.
  - comment on issues of ethical approval, attendance monitoring, skills training and personal development plans.
  - where the progress report includes an application for the transfer of registration by a student registered for MPhil only, the progress report shall be more substantial stating clearly the grounds for seeking the transfer of registration.

## Assessment of Progress and Potential

- 4.77 Before approving the transfer of registration of an MPhil/PhD research degree student, or the progress of a DProf/DBA/EngD student, the Chair of the Doctoral College Board will need to be satisfied that:
- a) the student has made sufficient progress;
  - b) that the proposed future programme of research will provide a suitable basis for work at doctoral level; and
  - c) that the student is capable of pursuing the proposed future programme of research to completion.
- 4.78 In addition to considering the student's progress report (see Regulation 4.75), the transfer of registration includes an oral assessment as part of the evaluation of the case for a transfer. This oral assessment is conducted by an Internal Assessor. The Dean of School or nominee may also attend.
- 4.79 Where a student fails to satisfy the Chair of the Doctoral College Board of either progression and/or potential of the project, the student will have their registration confirmed to be MPhil or appropriate exit award. The student will receive feedback relating to the performance of the Transfer or Progress Event and will be given the opportunity to represent at a second Event within a maximum of 3 months.
- 4.80 If the Chair of the Doctoral College Board deems the progress and the potential of the project at the Transfer Event as satisfactory, the student will have their registration confirmed to be PhD.
- 4.81 Where, the Chair of the Doctoral College Board is dissatisfied with student progress, they may take such action as deemed necessary including, after investigation and consultation with the Dean or nominee of the relevant School, the withdrawal of the student's registration.

## Transfer Event

- 4.82 Students who are registered as MRes/PhD or MPhil/PhD should transfer registration to PhD between 12 and 18 months for full time students and 24-36 months for part time students.

## Outcomes of Transfer Event

- 4.83 The transfer event will include consideration of the progress report and an oral examination. Following the transfer event the Internal Assessor's report shall recommend:

- transfer of registration to PhD
- continued registration for MPhil with submission within 6 months
- a further and final transfer event within 3 months (this outcome will not be available after a second and final transfer event)
- termination of registration ( see Regulation 4.46)

See Regulation 4.71 for role of Internal Assessor in relation to transfer events.

## Progression from Taught to Research Component (DProf)

- 4.84 The Chair of the Doctoral College Board will approve progression of candidates from the taught to research component after consideration of module performance.

## Authorised Interruption of Study

- 4.85 A student registered in accordance with these regulations may be allowed a period of Authorised Interruption of Study of up to a maximum of 12 months, approved by the Lead Supervisor or a member of the supervisory team, relevant Dean of School or nominee and the Chair of the Doctoral College Board or nominee and may be re-admitted thereafter to complete the requirements for the award. (See Regulations 4.39 and 4.86).

## Home Office Monitoring

- 4.86 The University may be required to use data collected to report to the Home Office on international students' attendance.



## **Submission of the Thesis/Portfolio**

### **The Candidate's Responsibilities**

- 4.87 It is the responsibility of the candidate to ensure that the thesis/portfolio is submitted in accordance with the procedures established by the Senate before the expiry of the period of registration. (See Regulation 4.35)
- 4.88 The submission of the thesis/portfolio for examination shall be at the sole discretion of the research degree candidate concerned. (See also Regulation 4.110).
- 4.89 Each candidate shall confirm, through a declaration incorporated in the thesis, that the thesis has not been submitted for a DBA, DProf, EngD or PhD or comparable academic award. Notwithstanding, a candidate shall not be precluded from incorporating in a thesis, covering a wider field, work which has already been submitted for a research degree, provided that it is clearly indicated, in the thesis, which work has been so incorporated and the extent of this work.
- 4.90 In cases where creative work forms part of the submission, it shall be clearly presented in relation to the argument of the written thesis and set in its relevant theoretical, historical, critical or design context. The thesis itself shall conform to the University's requirements. (See Reg 4.92)
- 4.91 The student's final submission shall be accompanied by some permanent record of the creative work incorporated, where practicable, with the thesis.

### **The Thesis/Portfolio**

- 4.92 The candidate shall submit the thesis for examination via the University's plagiarism detection software to the Doctoral College. See Appendix 1 for further guidance on the format of the thesis.
- 4.93 An abstract of approximately 300 words shall be included in the thesis, providing a synopsis of the thesis stating the nature and scope of the work undertaken and, in the case of a thesis submitted in partial fulfilment of the University's requirements for the degree of PhD, DBA or DProf or EngD of the original contribution to knowledge of the particular subject.
- 4.94 The thesis shall include a statement of the candidate's objectives and shall acknowledge published and/or other sources of material consulted (including an appropriate bibliography) and any assistance received.
- 4.95 The thesis shall include a declaration by the candidate that it has not been submitted for another comparable academic award (See Regulation 4.89).
- 4.96 Where the candidate's programme of supervised research has been part of a collaborative group project (see Regulation 4.8), the thesis shall indicate clearly the candidate's individual contribution and the extent of the collaboration.

- 4.97 Any material published by the candidate in advance of the submission of the thesis must be referred to in the thesis and copies of all such published material must be included within the submission.

### Length of Thesis

- 4.98 The text of a thesis in Science, Technology, Engineering and Mathematics should, excluding any ancillary data, should be of the following length:
- for the degree of MRes 15,000 words
  - for the degree of MPhil 20,000 words
  - for the degree of PhD 40,000 words
- 4.99 The text of a thesis in the all other disciplines should, excluding any ancillary data, should be of the following length:
- for the degree of MRes 20,000 words
  - for the degree of MPhil 40,000 words
  - for the degree of PhD 80,000 words
  - for the degree of DBA 60,000 words
- 4.100 Where the thesis is accompanied by material in other than written form or the research involves creative writing or the preparation of a scholarly edition (see Regulations 4.7) the written thesis may be reduced by an appropriate proportion but should not be less than 40,000 words.
- 4.101 The DProf and EngD shall comprise of a thesis not exceeding 50,000 words or a report and portfolio. The report will normally be between 10,000 and 20,000 words and will demonstrate advanced and systematic knowledge and skills in the candidate's chosen area. The report must show how the portfolio submitted forms a contribution to the creation and interpretation of new knowledge and must be set in the context of current understanding in the field.
- 4.102 For the PhD by publication/portfolio, the portfolio of published work should be no more than 100,000 words (see Regulations 4.105 and 4.106).

### Research Degrees by Publication/Portfolio

- 4.103 Candidates following the retrospective route shall submit within twelve months of the date of registration.
- 4.104 Candidates following the prospective publication route will adhere to the general requirements for registration as outlined in Regulation 4.12.

- 4.105 The submitted portfolio must add up to a substantial and coherent body of work which would have taken a diligent student the equivalent of three years of full-time study to accomplish, which makes a significant and original contribution to knowledge in, or understanding of, the candidate's field of study, and which is of a scholarly standard expected of a candidate who submits and is granted a PhD.
- 4.106 The submitted portfolio must consist of:
- a) all items of work on which the application is based,
  - b) an introductory section of 10,000 words (see separate Guidance on the format of the portfolio of works),
  - c) where jointly authored works are included a declaration must be attached indicating the role of the candidate and where possible this statement should be endorsed by co-authors,
  - d) an abstract of approximately 300 words.

The total submission, including the introductory section should not normally exceed 100,000 words.

### **Amendment of a Thesis/Portfolio**

- 4.107 Following the submission of a thesis/portfolio for assessment and examination, the thesis/portfolio (including a change of title) shall only be amended as required or agreed by the examiners.
- 4.108 Any candidate who makes any unauthorised amendment, addition or deletion in a thesis/portfolio either before or after the candidate's oral examination may, at the discretion of the University, be deemed to have rendered the assessment and examination null and void and, where applicable, shall not be granted the degree recommended by the examiners.
- 4.109 It shall be the responsibility of a candidate's Lead Supervisor to ensure that no unauthorised changes have been made in the thesis/portfolio following its final submission and before it is deposited in the University's permanent archive.

### **Submission of thesis/portfolio against the advice of supervisors**

- 4.110 It is the candidate's right to proceed with the submission even against the advice of the supervisors. Conversely, a candidate should not assume that the supervisors' agreement to the submission of the thesis guarantees the award of the degree for which it is submitted (see Regulation 4.88).

## **Examination Procedures**

### **General Requirements**

- 4.111 The examination of a candidate shall be in two stages:
- the examination of the thesis/portfolio;

- the candidate's defence of the thesis/portfolio by an oral or approved alternative examination.

For MRes and where MRes/PhD transfer does not apply, the examination shall be by thesis only (see Regulation 4.148 for exceptional use of a viva /oral examination for MRes).

- 4.112 All candidates will be offered the opportunity to participate in a mock viva, in preparation for their formal examination.

### **Examination Procedures**

- 4.113 No examination of a research degree candidate shall be held until the arrangements, including the appointment of examiners and Chairperson, have been approved in accordance with these Regulations.
- 4.114 Each candidate shall be informed of the procedure to be followed for the submission of the thesis and of any conditions to be satisfied before the candidate may be presented for examination.
- 4.115 It is the responsibility of the Lead Supervisor to propose to the relevant Dean of School the arrangements, including nominating the examiners, for the examination of a research degree candidate for recommendation to the Chair of the Doctoral College Board for approval at least three months before the expected date of the examination.
- 4.116 The Chair of the Doctoral College Board or nominee shall confirm to the candidate and the examiners the date of the oral examination (see Regulation 4.117) and shall send to each examiner a copy of the thesis and of the University's Regulations and procedures, and shall ensure that all the examiners are fully briefed on their duties and responsibilities. (See Regulation 4.134).

### **Oral Examination/Viva**

- 4.117 The oral examination of a research degree candidate may be held in person on campus or remotely. The quality and rigour of the examination must be maintained regardless of the format.
- 4.118 Exceptionally, approval may be given by the Doctoral College Chair/Deputy Chair for the oral examination to be held off campus without the use of technology.
- 4.119 At the candidate's request one supervisor may attend the oral examination in the role of an observer and will withdraw prior to the deliberations of the examiners on the outcome of the examination and their recommendation to the University.
- 4.120 Where for reasons of sickness, disability or comparable valid cause the University is satisfied that a candidate would be under serious disadvantage

if required to undergo an oral examination, an alternative form of examination may be approved. Such approval shall not be given on the grounds that a candidate's knowledge of the language in which the thesis is presented is inadequate.

- 4.121 By attending the oral examination/viva, the candidate is confirming that they are 'fit to sit' the examination, and that the outcome of the examination should stand.
- 4.122 If a candidate feels that their academic performance has been affected by extenuating circumstances and they are not in a position to attend the oral examination they should complete an on-line extenuating circumstances statement for PGR students prior to the start of the planned examination. An extenuating circumstances statement cannot be submitted after the examination.
- 4.123 The Chair of the Doctoral College Board must declare the examination null and void, appoint new examiners and arrange a new assessment and examination if the independent chair report determines that due to misconduct of examiners and/or a student, an assessment and examination process has not complied with University regulations (see Reg 4.153). In any such case, the joint examiners report and/or outcomes of any student appeal is taken as additional evidence to support the decision.
- 4.124 A candidate for a research degree shall take no part in the arrangement of the examination and shall have no formal contact with the external examiner(s) between their appointment and the holding of the oral examination.

### Examiners

- 4.125 Each research degree or doctoral candidate shall be examined by at least two, but normally not more than three, examiners (subject to the requirements of Regulations 4.137-4.138 and 4.160) of whom at least one shall be an external examiner. Recognised Teachers (RTUs) and Recognised Supervisors (RSUs) of the University may not be appointed as external examiners.
- 4.126 An internal examiner shall not be any member of the candidate's approved supervisory team and shall not be the candidate's Internal Assessor (see Regulation 4.72). The internal examiner must be a member of staff or a Recognised Supervisor of the University and experienced in examination of research degrees.
- 4.127 Where the candidate to be examined and the internal examiner are members of the permanent staff of this University, a second external examiner should be appointed. Any person who is employed by the University on a short fixed term contract, such as a research assistant, shall be exempt from the requirement that a second external examiner be appointed.

- 4.128 The examination team should be selected to ensure that the whole breadth of experience, knowledge and skills required is represented. In relation to practice-based studies, at least one of the examining team must demonstrate a track record of examining such studies.

### **Chairperson**

- 4.129 A non-examining Chairperson shall be appointed by the School and approved by the Chair of the Doctoral College Board to convene the oral examination and to report on the agreed recommendations of the examiners to the Doctoral College Board. The Chairperson will be responsible for the following:
- Approving the format and location of the oral examination;
  - Conducting the whole examination and ensuring that it is conducted in a fair manner and is of a reasonable duration;
  - Assisting the examiners to reach a consensus; and
  - Arranging for the joint examiner report stating the recommendation of the examiners and submitting this along with the preliminary examiners' reports and the Chair's report on the conduct of the viva to Doctoral College immediately after the viva.
- 4.130 The Chairperson will be an academic member of staff (including Emeritus Professors) or a Recognised Supervisor of the University or a Recognised Teacher of the University with knowledge of the University's Research Degree Regulations. The Chairperson shall:
- be an active researcher with experience of examining research students;
  - be independent of the student's work.
- 4.131 If none of the examiners is a member of UWS academic staff, the non-examining chair of must be a current member of academic staff of the University.

### **Eligibility and Criteria for Appointment of Examiners for Research Degrees**

- 4.132 The University's normal requirements for the appointment of examiners for Research Degrees are as follows:

The examiner should be experienced in research in the general area of the candidate's thesis and, where practicable, have experience as a specialist in the topic(s) to be examined. Where the external examiner is inexperienced in the examination of postgraduate research students, an additional external examiner with knowledge of standards expected for a higher degree by research in the UK shall be appointed.

To ensure the independence of external examiners each external examiner shall:

- be independent of the University and of any establishment(s) who hold formal partnership agreement with the University and shall not have acted previously as the candidate's supervisor or adviser;
- not be either a supervisor of another candidate or an external examiner on a taught programme in the same School of the University during the academic year of the examination;
- not have been a member of staff of the University during the past three years;
- not have acted as an external examiner of research degree candidates in the relevant School within the previous 12 months.

For taught doctoral programmes, an external examiner will normally be appointed for 24 months and undertake a maximum of sixteen examinations within this period. There should be a 12 month break between each 24 month appointment.

The University's **Quality Handbook** provides further reference points in relation to impartiality and avoidance of conflict of interest in the appointment of external examiners.

- 4.133 Examiners and independent Chairperson will have experience of DBA, DProf or PhD study, including their own completion of a DBA, DProf, EngD or PhD or supervision of PhD or doctoral students.

## **Examinations and Recommendations for Award**

### **Examination of the Thesis**

- 4.134 Each examiner shall assess the thesis in advance of the oral examination and submit an independent report to the independent Chairperson at the completion of Viva Voce examination (see also Regulation 4.120).
- 4.135 Every candidate submitting a thesis for examination shall have a right to defend the submitted work in the oral examination.
- 4.136 Submission of the thesis will be considered as a submission for examination and following Viva Voce examination the Joint Examiners' Report will make one of the recommendations under Regulation 4.137.

### **Recommendations Following Examination**

- 4.137 Following the completion of the assessment and examination of a research degree or doctoral candidate, the examiners may recommend:
- **Unconditional pass** - the candidate be granted the degree for which examined;

- **Pass with minor corrections** - the candidate be granted the degree for which examined, subject to minor amendments being made to the thesis or portfolio within 3 months (see Regulation 4.138 below);
  - **Pass with major corrections** - the candidate be granted the degree for which examined, subject to major amendments being made to the thesis or portfolio within 6 months (see Regulation 4.138 below);
  - **Re-examination oral only** - the thesis is satisfactory but the candidate must undergo a further oral examination (see Regulations 4.159-4.167) within 2 months. This shall be deemed to be part of the first examination of the candidate;
  - **Re-submit thesis, no oral examination** - the candidate be permitted to re-submit for the degree and be re-examined, without an oral examination (see Regulation 4.154-4.162) within 12 months;
  - **Re-submit thesis with oral examination** the candidate be permitted to be re-examined, with an oral examination (see Regulation 4.154-4.162) within 12 months;
  - **Fail** - the candidate not be granted the degree for which examined and be not permitted to be re-examined (see Regulations 4.141-4.142);
  - **Change of award** in the case of an examination for the degree of PhD, the candidate be granted the degree of MPhil subject to the presentation of the thesis being amended to the satisfaction of the examiners. Minor corrections to be submitted within 3 months and major corrections within 6 months.
- 4.138 The examiners should indicate informally to the candidate at the completion of Viva Voce examination the recommendations they propose to make on the result of the examination (see above) but they shall make it clear to the candidate that the final decision rests with the University.
- 4.139 Where the examiners are not unanimous in their recommendations, the University may:
- accept a majority recommendation provided that the majority recommendation is made by at least one external examiner;
  - accept the recommendation of the external examiner(s);
  - appoint an additional external examiner.
- 4.140 An additional external examiner appointed in accordance with Regulation 4.139 above shall prepare an independent report on the basis of the thesis and, if considered necessary, may conduct a further oral examination. That examiner shall not be informed of the recommendations of the other examiners.
- 4.141 The examiners shall not recommend that a candidate fail outright at first attempt (see Regulation 4.137 (**Fail**)) without oral re-examination or re-



submission of thesis without oral examination or re-submission of thesis with oral examination (see Regulation 4.137).

- 4.142 Following oral re-examination or re-submission of thesis without oral examination or re-submission of thesis with oral examination, where the University determines that the degree be not granted (see Regulation 4.137 (**Fail**)), the examiners shall prepare an agreed statement of the identified deficiencies and the reason for their recommendation to be forwarded to the candidate.

### **Examiners' Recommendations and Reports**

- 4.143 Following the oral examination, the examiners shall submit a joint report and recommendation relating to the award of the degree to the Chairperson for the attention of the Chair of the Doctoral College Board within two weeks of the Viva.
- 4.144 Where they are not in agreement, submit separate reports and recommendations to the Chairperson for the attention of the Chair of the Doctoral College Board.
- 4.145 The decision as to whether to accept the reports and recommendations of the examiners of a research degree candidate and to forward those recommendations concerning the award of the degree of MRes, MPhil, DProf, DBA, EngD or PhD, as appropriate, to the Senate shall rest with the Chair of the Doctoral College Board.
- 4.146 All formal communications by the examiners at each stage of the assessment and examination process must be sent to the Doctoral College.
- 4.147 The joint recommendation made by the examiners submitted following the oral examination should provide sufficiently detailed comments on the scope and quality of the programme of supervised research undertaken by the candidate to enable the Doctoral College Board to satisfy itself of the basis of the recommendations (see Regulation 4.137).

### **Assessment for an MRes**

- 4.148 Exceptionally and where MRes/PhD transfer does not apply, examiners for the award of the degree of MRes may recommend that a viva or oral examination is held. (See Regulation 4.111). The nominated internal examiner shall inform the University of the recommendation to hold a viva and the reasons for this recommendation. Following approval of the recommendation by the Chair of the Doctoral College Board, the procedures outlined in Regulations 4.134-4.142 shall apply.

### **Research Degrees by Publication**

- 4.149 Each candidate will be examined by at least two examiners external to the University appointed according to the Regulations (4.132-4.133) pertaining

to the conventional PhD route, an internal examiner may also be appointed. Co-authors, advisers or supervisors may not act as examiners.

- 4.150 The grounds for the award of PhD by research publications are the submission of a portfolio of published work judged satisfactory by the examiners and a satisfactory performance at an oral examination.
- 4.151 At the conclusion of the examination the examiners may recommend to the Chair of the Doctoral College Board that:
- the degree of PhD be granted;
  - the degree of PhD be granted subject to amendments to the final report;
  - the degree be not granted.

### **Posthumous Awards**

- 4.152 The degree of MRes, MPhil, DBA, DProf, EngD or PhD may be granted posthumously on the basis of a thesis completed by a candidate which is ready for submission and where there is evidence that the candidate would have been likely to have been successful had the oral examination been held.

### **Procedural and other Irregularities**

- 4.153 Where there is evidence of procedural or other irregularity in the conduct of the assessment, the Chair of the Doctoral College Board may declare the examination null and void with the appointment of new examiners, if necessary.

### **Re-examination**

#### **General Requirements**

- 4.154 One re-examination may be permitted, subject to the following requirements:
- a candidate who fails to satisfy the examiners at the first examination including the oral or approved alternative examination (see Regulation 4.120), shall be permitted to be re-examined according to Regulation 4.141;
  - the joint examiners report from the first attempt shall provide the candidate, in accordance with the procedures established by the Senate, with written guidance on the deficiencies of the first submission; and
  - the candidate shall follow requirements for re-examination in accordance with the Regulation 4.137.
- 4.155 At its discretion, the University may appoint an additional external examiner for the re-examination.

## Form of Re-examination and Recommendations

- 4.156 The form of re-examination shall be that approved by the University on the recommendation of the examiners at the first examination (see Regulation 4.137).
- 4.157 The examiners shall make one of the following recommendations provided for under Regulation 4.137:
- Unconditional pass
  - Pass with minor corrections
  - Fail; or
  - Change of award
- 4.158 The form of re-examination shall be essentially that required for a first examination, with the proviso that the examiners may not recommend a further examination be held (see Regulation 4.157). It should be noted that the Chair of the Doctoral College Board may require an additional external examiner to be appointed (see Regulation 4.153).
- 4.159 The detailed requirements for the form of the re-examination of a candidate must accord with Regulation 4.137.
- 4.160 Following completion of the re-examination of the candidate, the examiners may recommend:
- the candidate be granted the degree for which examined;
  - the candidate not be granted the degree for which examined;
  - In the case of an examination for the degree of PhD, the candidate be granted the degree of MPhil subject to the presentation of the thesis being amended to the satisfaction of the examiners.
- 4.161 The examiners may agree jointly, after examination of the resubmitted thesis, that the thesis is so deficient to render a second oral examination redundant, and may advise the Chair of the Doctoral College Board that they do not wish to proceed with the oral component of the re-examination. This will only occur when the thesis is so deficient that it cannot be corrected within the bounds of Regulation 4.137 **minor corrections**). The examiners shall detail the deficiencies in Joint Examiners' Final Report.
- 4.162 No re-examination in whatever form, shall be held without the approval of the Chair of the Doctoral College Board.

## Appeals, Plagiarism, Complaints and Copyright

### Academic Appeals

- 4.163 An academic appeal is defined as a request to review a decision of an academic body charged with decisions on student assessment, progression and awards.

- 4.164 Refer to Chapter 6 of the Regulatory Framework for further information on Appeals procedures.

### **Cheating and Plagiarism**

- 4.165 Cheating and plagiarism are defined by the University as the attempt to gain an unfair advantage in an assessment by gaining credit for work of another person or by accessing unauthorised material relating to assessment.
- 4.166 Refer to Regulation Chapter 3 of the Regulatory Framework (Regulations 3.49- 3.55) further definitions and procedures.

### **Complaints Procedure**

- 4.167 All research students should consult the University's Complaints Handling procedure if they wish to raise a complaint regarding dissatisfaction within the standard of service, action or lack of action by or on behalf of the University. A copy of the University's Complaints Handling procedure can be accessed via the Academic Services website, Student Link on all campuses and the Students' Association.

### **Copies of the Thesis/Portfolio and Copyright**

- 4.168 Following the award of the degree of MRes, DBA, DProf, EngD, MPhil or PhD:
- one electronic copy of the thesis shall be submitted to the Doctoral College and the University's online repository;
  - in the case of a thesis submitted for the degree of DBA, DProf, EngD or PhD, an electronic copy shall be deposited in the British Library's Electronic Theses repository (EThOS).
- 4.169 Where, because of the nature of the research, approval has been given for the thesis to be treated as confidential (see Regulation 4.47-4.49), the thesis shall be deposited only with the Doctoral College with access restricted to those directly involved in the research until the expiry of the period of confidentiality.
- 4.170 Each copy of the thesis shall remain the property of the University, but the copyright of the thesis will remain with the candidate.

## Regulations for Higher Doctorates

### **Awards**

4.171 The University may award the following Higher Doctorates:

- Doctor of Letters (DLitt)
- Doctor of Music (DMus)
- Doctor of Science (DSc)
- Doctor of Technology (DTech)

### **Applicants – Criteria**

4.172 The applicant must have undertaken work of the absolute highest distinction which evidences:

- a) substantial, original and outstanding contribution in scale and time to the advancement of knowledge or to the application of knowledge or to both;
- b) that the applicant is demonstrably an internationally leading authority in the field(s) of study concerned; and
- c) authoritative impact on the work of others, global reach and significance.

4.173 The contents of the submission must be in the English language unless specific permission to the contrary has been given by the University.

### **Eligibility**

4.174 Current member of staff or graduates of the University are eligible to apply.

### **Preliminary Application**

4.175 An applicant for a Higher Doctorate must make a preliminary application to Research Services.

4.176 An initial application must consist of:

- a) completed application form.
- b) proof of payment of the application fee.
- c) a pdf copy of the applicant's Curriculum Vitae.
- d) a pdf copy of the list of representative publications for consideration.
- e) an pdf supporting document of 5,000 words (minimum 11pt, single spaced), stating and demonstrating how the applicant meets the criteria for the award, including a signed full statement of the extent of the applicant's contribution to any of the work submitted which involves joint authorship or any other collaboration.

### **Preliminary Consideration**

4.177 On receipt of a preliminary application for a Higher Doctorate, the Pro Vice-Chancellor (Research, Innovation & Engagement) as a Chair of the Research and Enterprise Advisory Committee (REAC) will convene a

Higher Doctorates Review Panel (HDP) to consider whether a *prima facie* case for proceeding to a formal examination of the submission has been established, taking whatever advice it shall deem to be appropriate.

- 4.178 Should HDP conclude that a *prima facie* case is not established, the applicant will be notified by the Research Services. In any such case, the University will retain 10% of the fee and the remainder will be returned to the applicant. There is no right of appeal in relation to the HDP decision.
- 4.179 If satisfied that a *prima facie* case has been established, HDP will nominate two External Assessors for current members of staff, or one External and one Internal Assessor for all other applicants. Each External and Internal Assessor will be required to make an independent report to the University. In the event of any disagreement between the Assessors, the University may appoint an additional External Assessor (see Regulation 4.187).
- 4.180 All appointed External Assessors shall be wholly independent of the University, have no declared conflict of interest with the applicant and their identities will not be disclosed to the applicant at any time.

### Full Application

- 4.181 The applicant will be invited by Research Services to make a full application only if *prima facie* case has been established and once all the Assessors are appointed.
- 4.182 Following the invitation, the applicant will provide Research Services with two copies of the publications listed on the list of representative publications for consideration, preferably electronically or as e-links, or exceptionally as hard copies (see Regulation 4.176).
- 4.183 All submitted information during the Preliminary Application (see Regulation 4.176) will be submitted to the appointed Assessors at this stage for the purpose of producing Independent Assessor's Reports with their individual recommendations on the merits of the applicant's submission.
- 4.184 The Independent Assessor's Reports will be received and considered by the Research and Enterprise Advisory Committee (REAC).
- 4.185 One copy of the submission shall remain the property of the University and shall be deposited in the Library unless the application is unsuccessful (see Regulation 4.190) in which case the copy of the submission shall be retained by Research Services only.

### Outcome

- 4.186 If the appointed Assessors unanimously decide that the applicant's submission merits the award of a Higher Doctorate, as evidenced in the

Independent Assessor's Reports, and this is endorsed by REAC at the next regular meeting, then Chair of REAC shall forward the respective recommendation of the Assessors to the Principal and Vice Chancellor (as the Chair of Senate and the Chief Executive of the University), and inform HDP.

- 4.187 If the appointed Assessors cannot reach a unanimous decision on the applicant's submission, as evidenced in the Independent Assessor's Reports, and this is endorsed by REAC at the next regular meeting, then Chair of REAC advises HDP to seek an additional External Assessor in order to arrive at a majority decision by the Assessors whether the applicant's submission merits the award of a Higher Doctorate or not. If, following this appointment, the majority decision is that the applicant's submission merits the award of a Higher Doctorate and this is endorsed by REAC at the next regular meeting, then Chair of REAC shall forward the respective recommendation of the Assessors to the Principal and Vice Chancellor (as the Chair of Senate and the Chief Executive of the University), and inform HDP.
- 4.188 The Chair of REAC shall also ensure that each confirmation of the recommendation to award a Higher Doctorate of the University shall be reported to the Senate.
- 4.189 Regardless of the outcome all applicants shall receive anonymised copies of the Assessors reports for feedback.

### **Reapplication**

- 4.190 Unsuccessful applicants at the preliminary and full application stages may re-apply in the following academic year, demonstrating how they took into consideration any feedback that they received during the application process.

### **Appeals**

- 4.191 Unsuccessful applicants at the full application stage may appeal against the decision of REAC on the grounds of procedural irregularity only. The Pro Vice-Chancellor (Research, Innovation & Engagement) will nominate two members of academic staff who have not been involved in either the prima facie or assessment stages to conduct a review.

### **Confidentiality**

- 4.192 All applications shall be treated in strict confidence.
- 4.193 Any canvassing by, or on behalf of, an applicant shall automatically disqualify the applicant concerned.

### **Honorary Doctorates**

- 4.194 The conferment of Honorary Doctorates by the University shall not be subject to these regulations governing the requirements for the award of the University's Higher Doctorates. The University Court reserves the right to award and revoke Honorary Doctorates under Regulation 1.13.

## **Appendix 1**

### **Guidance on the Format of the Thesis**

The format of a thesis submitted in partial fulfilment of the University's requirements for the award of the degree of MRes, DBA, DProf, EngD, MPhil or PhD shall conform with the following, with reference to the British Standards Institution's Specification BS 4821 (1990):

- the thesis shall normally be in A4 format; approval may be given for a thesis to be submitted in another format where it is established that the contents will be better accommodated in that format;
- the electronic copy of the thesis shall be submitted as one complete file, including any appendices and supplementary material in PDF format;
- all margins shall not be less than 15 mm;
- double or x 1½ spacing shall be used in the formatting except for indented quotations or footnotes where single spacing may be used;
- pages shall be numbered consecutively through the main text including photographs and/or diagrams included as whole pages;
- the title page shall give the following information, presented as specified by the University:
  - the full title of the thesis;
  - the full name of the author;
  - the degree for which the thesis is submitted in partial fulfilment of its requirements;
  - that the degree is granted by the University;
  - the name(s) of any collaborating establishment(s); and
  - the month and year of first submission to the Doctoral College, unless there is a substantial delay before the final submission (more than twelve months) when the date of the final submission shall be the accepted date.

A specimen title page is appended to these Regulations.



[Specimen thesis title page]

A POLITICAL-ECONOMY OF SAFETY AND HEALTH IN THE BRITISH  
CONSTRUCTION INDUSTRY WITH SPECIAL REFERENCE TO FATAL INJURIES  
IN THE WEST OF SCOTLAND

ERIK WILLIAM HUGH SUTHERLAND

Thesis submitted in partial fulfilment of the requirements  
of the University of the West of Scotland  
for the award of Doctor of Philosophy