



8

REGULATIONS FOR RESEARCH DEGREES

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8 Regulations for Research Degrees

8.1 General Requirements

8.1.1 *Research Degrees*

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 awarded to registered research degree candidates who successfully complete an approved programme of supervised research and satisfy the University's requirements for the standard of the award (see Regulation 3.5.1-3.5.5).

8.1.2 *The Graduate School*

- a) The Graduate School has been established by Senate to manage all matters relating to the registration, administration, direction, assessment and progression of research and professional doctorate degree candidates, except as where otherwise provided for in the University's Regulations.
- b) All matters relating to research degree and professional doctorate candidates shall be dealt with in accordance with the procedures and notes of guidance issued periodically by the Graduate School Board. The terms of reference and membership of the Graduate School Board is included in Regulation 14.

8.1.3 *Programmes of Study*

- a) 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.
- b) 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 8.1.5(b)].
- c) In considering whether to approve an application for registration as a research degree or professional doctorate candidate, the Graduate School Board will require to be satisfied about the following:
 - i) the suitability of the applicant concerned to undertake research, including the applicant's qualifications;
 - ii) the viability of the proposed programme of research;
 - iii) the adequacy of the proposed supervision arrangements and their sustainability (see Regulation 8.3);
 - iv) the adequacy and appropriateness of the facilities and resources available to support the proposed research;

8.1.4 *Creative Work*

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.

8.1.5 *Group and Funded Projects*

- a) 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.
- b) 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).

8.1.6 *Concurrent Studies*

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.

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

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.

8.2 **APPLICATION AND REGISTRATION**

8.2.1 *Categories of Registration*

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

- iv)) exceptionally the degree of PhD direct where the candidate is considered to have appropriate research experience
 - v) the degree of PhD by publication
 - vi) the degree of DBA only
 - vii) the degree of DProf only
 - vii) the degree of EngD only
- b) The minimum requirements for an applicant for registration for the degree of MRes or MPhil or for the degree of 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.
- c) Applications for registration from persons holding qualifications other than those specified in Regulation 8.2.1(b) (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.
- d) An applicant who does not hold the normally expected qualifications [see Regulation 8.2.1b) must provide 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.
- e) 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 MPhil degree of equivalent standard of an international University, provided that the MPhil degree is in a subject area which is appropriate to the proposed programme of work.
- f) 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 a 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 publications, and where evidence of accomplishment is supplied.
- g) Direct registration for the degree of DBA, EngD or DProf shall normally be approved, at the discretion of the University of a person who holds an appropriate Master's degree of a UK University. It would normally be expected that candidates should be in appropriate professional employment or have access to an appropriate professional setting.

8.2.2 *Research Degrees by Publication*

Eligibility

- a) The University provides two routes to the award of PhD by Research Publication; 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.
- b) Candidates for the retrospective award must be members of academic staff or alumni of the University of the West of Scotland. Staff from UWS partner organisations¹ at the date of application for registration are eligible to apply.
- c) For the retrospective route candidates should be active researchers in their field of expertise and they should not normally submit material published more than ten years prior to the date when they are given permission to register for the degree.
- d) For the prospective route candidates, are expected to follow the standard application process of identifying an area of research interest and submitting a research proposal. During their studies candidates are expected to publish several significant research papers along with the submission of an extended narrative which draws together the published work into a single thesis.
- e) Candidates will be allowed to register for the degree only with the approval of the Graduate School Board to which all applications must be made.
- f) Permission to register will not normally be granted to candidates who already possess a PhD.

Application procedure for PhD by Publication

(Retrospective)

- g) The application should consist of a list of the public outputs (approximately 4-6) on which the proposal is based, a preliminary statement giving details of where and when the work was carried out together with an outline discussion (of not more than 3,000 words) of the contribution of the published output to the advancement of knowledge in the field of study. Where the application is based on jointly published work a statement should be included making clear the contribution of the candidate to the outputs included.

¹ 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 .

(Prospective)

- h) 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.

8.2.3 *Language requirements*

- a) Where English is not the first language, applicants for a higher degree by research (all degrees listed in Reg 8.2.1) 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 (see Regulation 6.6.3).
- b) 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.
- c) Exceptionally, permission may be given for a thesis to be presented in a language other than English; normally 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.
- d) Permission to present a thesis in a language other than English shall normally be sought at the same time as the application for registration.

8.2.4 *Modes of Study*

- a) A research degree or Professional Doctorate candidate may be registered on a full-time or on a part-time basis.
- b) 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. Proposed changes will be implemented at the beginning of the next year of study. The expected end date will be calculated on a pro-rata basis.

8.2.5 *Registration by Distance Mode*

- a) 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:
 - i) there is satisfactory evidence that the facilities available to the applicant within and outwith the University will meet the University's requirements; and

- ii) the arrangements for supervision enable frequent and substantial contact between the student and the supervisor(s) based in the University;
- b) By enrolment, the student or the student's sponsor or host institution accepts responsibility for:
 - i) the cost of any programme of related studies;
 - ii) the cost of any English language courses required;
 - iii) the cost of facilities such as email and computing;
 - iv) all costs associated with the visit/s to the University and of the Viva examination;
 - v) the cost of any visit approved as necessary by the University of the West of Scotland to the host institution or workplace by the Director of Studies;

8.2.6 *Periods of Registration*

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

Degree		normal	maximum
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
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	36 months	48 months
	Part Time	48 months	60 months
DProf/EngD	Part time	48 months	72 months

- b) It may be possible to complete a programme of study within a shorter time than the normal duration listed in 8.2.6a). 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.
- c) 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 a single 12 month full-time or part-time extension.
- d) A student that exceeds the maximum period of registration and has their registration extended shall be subject to an annual Completion Fee, as set and published annually in the Fee Schedule.

- e) Periods of authorised interruption of studies will not be included in the period of registration (see Regulation 8.4.8).
- f) Where an applicant has previously undertaken research as a registered research degree student, a shorter period of registration than that normally required [see Regulation 8.2.1 (a) above], which takes account of all or part of the time already spent by the applicant on that research, may be approved.
- g) Where a student registered on a PhD or on an MPhil/PhD 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 8.2.1 (a), the Graduate School may approve on request an extension to the period of registration of six months.

8.2.7 *Changes in Registration*

- a) Where there is evidence that a programme of supervised research is proceeding exceptionally well, the period of registration may be shortened from that normally required (see 8.2.1b).
- b) Where a research degree student is prevented, by ill-health or other good cause, from making progress with the programme of supervised research, the registration may be interrupted (See 8.4.8). The authorised interruption shall not exceed any single period exceeding one year.
- c) Any change in the programme of supervised research being undertaken by a registered research degree student must be notified to the Graduate School Board. Where any change is substantial, approval must be obtained before the change is implemented.
- d) Where a research degree student discontinues the programme of supervised research, the withdrawal of registration must be reported to the Graduate School Board.
- e) Where the Graduate School 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 8.4.6b iv)

8.2.8 *Confidentiality at application stage*

- a) 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.

- b) 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 Graduate School Board immediately.
- c) The period for which a thesis may remain confidential shall be agreed at the time of application.

Grounds for Confidentiality

- d) An application for a thesis to remain confidential [see also Regulation 8.9.4(b)] 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.
- e) Normally, the Graduate School Board, in consultation with Head of Enterprise Services will only approve an application for confidentiality in order to enable a patent application to be lodged or to protect material which is commercially, or for some other good reason, sensitive. The University will not approve confidentiality in order to protect research leads.
- f) Approval will normally be given for the thesis to remain confidential for a maximum of two years, but exceptionally, the Graduate School Board may approve a longer period of confidentiality. Conversely, where a shorter period would be adequate, Graduate School Board shall not automatically approve a two-year period.

8.2.9 *External Collaboration*

- a) 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.
- b) Formal collaboration shall normally involve the research degree student's use of facilities and other resources in the collaborating establishment, as well as the University.
- c) 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.

8.3 SUPERVISION

8.3.1 *General requirements*

- a) Each registered research degree student shall normally have at least two, but not more than three, supervisors.

- b) One Supervisor shall be designated as the Director of Studies (first 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 Director of Studies and the student as to an appropriate specified frequency of contact.
- c) 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.

8.3.2 *Composition of the Supervisory Team²*

- a) The supervisory team shall include members with:
 - (i) a research degree equivalent to, or exceeding, the degree being supervised.
 - (ii) experience of supervision of at least one postgraduate research student to successful completion at a UK University
 - (iii) experience of the Research Degree Regulations and procedures of the University of the West of Scotland
- b) 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.
- c) For research degrees by publication (retrospective) an adviser (corresponding to the 'Director of Studies' 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.

8.3.3 *Appointment and Eligibility of Supervisors*

- a) It is the responsibility of the Dean of School or nominee to allocate a Director of Studies and Supervisor and the proposed supervision arrangements must be submitted for approval with the application for registration See Reg 8.1.3 c) iii).
- b) Emeritus Professors who are still active in research in the field of study, recognised teachers of the University and appropriate staff in partner organisations (see 8.2.2 footnote) as outlined in the collaborative/supervision agreement may be appointed to the supervisory team in line with the criteria in (Regulation 8.3.2 above)
- c) For Professional Doctorate programmes, arrangements for supervision should be made in conjunction with the programme leader.

² Not all supervisors have to meet all the criteria, but the team as a whole needs to cover the criteria in 8.3.2

Advisers

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

8.3.4 *Changes in Supervision Arrangements*

Approval must be obtained from the Graduate School Board for any changes in the supervision arrangements.

8.4 PROGRESS and TRANSFER**8.4.1** *General requirements*

All research degree students will be supported to achieve successful completion of their studies. This will be provided via engagement with the Doctoral Training Academy and through regular progress meetings overseen by an internal assessor. The Graduate School will monitor progress and applications for transfer of registration via regular progress reports.

8.4.2 *Engagement with Studies*

- a) 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.
- b) 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.
- c) Any person registered (distance mode) in accordance with this regulation shall be expected to engage in appropriate training, evaluation and progression events and to agree the frequency and mode of contact with their Director of Studies. This will normally equate to not less than six weeks contact per year at locations appropriate to the programme of study. 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.

8.4.3 *Internal Assessor*

- a) 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 MPhil to PhD at the review stage.
- b) 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 Teachers of the University may be appointed as Internal Assessors.

- c) 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 Director of Studies.
- d) The Internal Assessor will report to Graduate School Board on the candidate's progress and continued registration.

8.4.4 *Progress Reports*

- a) Students are required to submit a number of progress reports in conjunction with their Director of Studies and to attend an annual progress panel interview which will be formally assessed.
- b) All progress reports shall include:
 - i) a review and discussion of the work already undertaken; and
 - ii) a statement of the intended further work, including details of the original contribution to knowledge which is likely to emerge.
 - iii) comment on issues of ethical approval, attendance monitoring, skills training and personal development plans.
 - iv) 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.

8.4.5 *Assessment of Progress and Potential*

- a) Before approving the transfer of registration of a MPhil/PhD research degree student, or the progress of a DProf/DBAEngD student, the Graduate School Board will need to be satisfied that the student has made sufficient progress and that the proposed future programme of research will provide a suitable basis for work at doctoral level which the student is capable of pursuing to completion.
- b) In addition to considering the student's progress report (see Regulation 8.4.4), the Graduate School Board will normally arrange an oral assessment as part of its evaluation of the case for a transfer. This oral assessment will normally be made by an Internal Assessor appointed by the Graduate School Board. The Dean of School or delegate will normally also attend.
- c) Where a student fails to satisfy the Graduate School Board of either progression and/or potential of the project will have their registration confirmed to be MPhil or appropriate exit award. The student will receive detailed 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.

- d) A student who satisfies the Graduate School Board of progress and of the potential of the project at the Transfer Event will have their registration confirmed to be PhD.
- e) Where, the Graduate School Board is dissatisfied with student progress, it may take such action as it deems necessary including, after investigation and consultation, the withdrawal of the student's registration. The Chair of the Graduate School Board shall consult the supervisory team and the Dean of School.

8.4.6 *Transfer Event*

- a) Students who are registered as MPhil/PhD normally 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

- b) 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:
 - i) transfer of registration to PhD
 - ii) continued registration for MPhil with submission within 6 months
 - iii) a further and final transfer event within 3 months (this outcome will not be available after a second and final transfer event)
 - iv) termination of registration (see Reg 8.2.7e)

See Reg 8.4.3 for role of Internal Assessor in relation to transfer events

8.4.7 *Progression from Taught to Research Component (DProf)*

The Graduate School Board will approve progression of candidates from the taught to research component after consideration of module performance.

8.4.8 *Authorised Interruption of Study*

A student registered for an award may be allowed a period of Authorised Interruption of Study, approved by the relevant Dean of School and may be re-admitted thereafter to complete the requirements for the award. (see 8.2.7b). A period of Authorised Interruption of Study will not normally exceed one academic session.

8.4.9 *Home Office monitoring*

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

8.5 SUBMISSION OF THE THESIS/PORTFOLIO

8.5.1 *The Candidate's Responsibilities*

- a) 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 8.2.6 a)
- b) The submission of the thesis/portfolio for examination shall be at the sole discretion of the research degree candidate concerned.
- c) 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.
- d) 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 normal scholarly and other requirements.
- e) The student's final submission shall be accompanied by some permanent record of the creative work incorporated, where practicable, with the thesis.

8.5.2 *The Thesis/Portfolio*

- a) The candidate should submit the thesis for examination via Turnitin along with two soft bound copies to the Graduate School. See Appendix 1 for further guidance on the format of the thesis.
- b) An abstract of approximately 300 words shall be included in the thesis which shall provide 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.
- c) 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.
- d) The thesis shall include a declaration by the candidate that it has not been submitted for another comparable academic award 8.5.1c).
- e) Where the candidate's programme of supervised research has been part of a collaborative group project [see Regulation 8.1.5(a)], the thesis shall

indicate clearly the candidate's individual contribution and the extent of the collaboration.

- f) 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, either securely bound into the thesis or placed in a secure pocket at the end of the thesis.

8.5.3 *Length of Thesis*

- a) The text of a thesis in Science, Technology, Engineering and Mathematics should, excluding any ancillary data, normally not exceed:
- | | | |
|------|-------------------------|--------------|
| i) | for the degree of MRes | 15,000 words |
| ii) | for the degree of MPhil | 20,000 words |
| iii) | for the degree of PhD | 40,000 words |
- b) The text of a thesis in the all other disciplines should, excluding any ancillary data, normally not exceed:
- | | | |
|------|-------------------------|--------------|
| i) | for the degree of MRes | 20,000 words |
| ii) | for the degree of MPhil | 40,000 words |
| iii) | for the degree of PhD | 80,000 words |
| iv) | for the degree of DBA | 60,000 words |
- c) 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 8.1.4) the written thesis may be reduced by an appropriate proportion but should not, normally, be less than 40,000 words.
- d) 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.
- e) For the PhD by publication, the portfolio of published work should be no more than 100,000 words [see Regulation 8.5.4c) and d)]

8.5.4 *Research degrees by publication*

- a) Candidates following the retrospective route must normally submit within twelve months of the date of registration.

- b) Candidates following the prospective publication route will adhere to the general requirements for registration as outlined in regulation 8.2.1.
- c) The submitted portfolio of published research 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 normally expected of a candidate who submits and is awarded a PhD.
- d) The portfolio of published work must consist of:
All items of public work on which the application is based, a critical review of 10,000 to 25,000 words (see e), f) and g) below below), 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, an abstract of approximately 300 words. The total submission, including the critical review should not normally exceed 100,000 words.

Guidance on the format of the Portfolio for PhD by publication

- e) The portfolio should, for example, consist of four to six interconnected, peer-reviewed published works. Such publications may include research papers, chapters, monographs, books, scholarly editions of text, technical reports, creative work artefacts etc.
- f) Candidates must either be the sole author of the portfolio of published work or must be able to demonstrate in the critical review of the submitted work that they have made a major contribution to all of the work that has been produced by more than one author. In such cases a declaration must be appended as above and, where possible, endorsed by co-authors.
- g) The portfolio of published work must be accompanied by an abstract and also by a general critical review of all the submitted work. This critical review should summarise the aims, objectives, methodology, results and conclusions covered by all the work submitted in the portfolio. It should also indicate how the publications form a coherent body of work, what contribution the candidate has made to this work, and how the work contributes significantly to the expansion of knowledge. It should be at least 10,000 words, but not more than 25,000 words in length.
- h) All submissions must include a statement, signed by the candidate, confirming that the work has not been submitted in full or in part for the award of another degree.
- i) Submissions should, as far as is practicable, be presented in a way that confirms to the regulatory standards (see Appendix 1) for the format and submission of theses. Books may be submitted as published.

8.5.5 *Amendment of a Thesis/Portfolio*

- a) Following the submission of a thesis/portfolio for assessment and examination for the degree of MRes, DBA, DProf, EngD, MPhil or PhD, the thesis/portfolio shall only be amended as required or agreed by the examiners.
- b) 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 awarded the degree recommended by the examiners.
- c) It shall be the responsibility of a candidate's Director of Studies 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.

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

Whilst a candidate would be unwise to submit the thesis for examination against the advice of the supervisors, it is the candidate's right so to do. 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 8.5.1b)].

8.6 EXAMINATION PROCEDURES

8.6.1 *General Requirements*

- a) The examination of a candidate for the degree of MRes, MPhil, DProf, DBA, EngD or PhD shall normally be in two stages:
 - i) the examination of the thesis/portfolio;
 - ii) the candidate's defence of the thesis/portfolio by an oral or approved alternative examination.

For MRes only, exceptionally, examiners may recommend to the Graduate School Board that examination is by thesis only (see Reg 8.7.4).

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

8.6.2 *Examination Procedures*

- a) 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.

- b) 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.
- c) It is the responsibility of the Director of Studies to propose to the Dean of School the arrangements, including nominating the examiners, for the examination of a research degree candidate for recommendation to the Graduate School Board for approval at least three months before the expected date of the examination.
- d) The Graduate School Board shall confirm to the candidate and the examiners the date of the oral examination (see Regulation 8.6.3) 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.

8.6.3 *Oral Examination/Viva*

- a) The oral examination of a research degree candidate shall normally be held on campus (including those candidates registered on distance mode).
- b) Exceptionally, approval may be given for the oral examination to be held elsewhere. Approval may also be given for the use of technology during the oral examination to allow an appropriate examiner to access the event remotely provided the quality and rigour of the examination can be maintained.
- c) 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.
- d) 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.
- e) 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.
- f) 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 prior to the start of the planned examination. An extenuating circumstances statement cannot be submitted after the examination.

- g) In any instance where the Graduate School Board becomes aware of a failure to comply with all the University's requirements relating to assessment and examination process, it may declare the examination null and void (see Regulation 8.7.7) and require that new examiners be proposed and that a new assessment and examination be held.
- h) 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.

8.6.4 *Examiners*

- a) 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 8.6.6 and 8.8.1b)] of whom at least one shall be an external examiner. Recognised Teachers of the University (RTUs) may not be appointed as external examiners.
- b) 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 8.4.3.b)]. The internal examiner should be a member of staff of the University and experienced in examination of research degrees. Recognised Teachers of the University are not eligible for appointment as internal examiners.
- c) 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.
- d) 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 have the capacity to examine creative outputs.

8.6.5 *Chairperson*

- a) A non-examining Chairperson shall be appointed by the Graduate School Board in conjunction with the School to convene the oral examination and to report on the agreed recommendations of the examiners to Graduate School Board. The Chairperson will be responsible for the following:
 - 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.

- Arranging for the joint examiner report stating the recommendation of the examiners and submitting this to Graduate School Board.
 - Submitting the Chair's report on the conduct of the viva to the Graduate School Board.
- b) The Chairperson will be an academic member of staff (including Emeritus Professors) 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.

8.6.6 *Eligibility and Criteria for Appointment for Examiners*

- a) The University's normal requirements for the appointment of examiners 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 normally be appointed.
 - To ensure the independence of external examiners each external examiner shall:
 - i) be independent of the University and of any collaborating establishment(s) and shall not have acted previously as the candidate's supervisor or adviser;
 - ii) not normally be either a supervisor of another candidate or an external examiner on a taught programme in the same School of the University;
 - iii) not normally have been a member of staff of the University during the past five years;
 - iv) not have acted as an external examiner of research degree candidates in the School within the previous three years.

See Regulation 7.12.4 for further guidance on the independence of external examiners.

- b) Examiners and Chairperson will normally have experience of DBA, DProf or PhD study, including their own completion of a DBA, DProf, Eng D or PhD or supervision of PhD or doctoral students.

8.7 EXAMINATIONS AND RECOMMENDATIONS FOR AWARD

8.7.1 *Examination of the Thesis*

- a) Each examiner shall assess the thesis in advance of the oral examination [see also Regulation 8.6.3(d)]. Each examiner shall submit an

independent report in the University's standard format to the Secretary of the Graduate School Board in advance of the oral examination and not less than one week before the date of the oral examination [see Regulation 8.6.3). The Graduate School will distribute the examiner reports to all examiners, and the Chair at least one week prior to the oral examination.

- b) Where the examiners are of the opinion that the thesis is so unsatisfactory that no useful purpose would be served by conducting an oral examination, they may recommend that the University dispense with the oral examination and refer the thesis for further work. In any such case, the examiners shall provide the University with written guidance for the candidate concerning the deficiencies of the thesis.
- c) This will be considered as a submission for examination and the examiners' report will make one of the recommendations under Regulation 8.7.2.

8.7.2 *Recommendations following examination*

- a) Following the completion of the assessment and examination of a research degree or doctoral candidate, the examiners may recommend:
 - i) **Unconditional pass** - the candidate be awarded the degree for which examined;
 - ii) **Pass with minor corrections** - the candidate be awarded the degree for which examined, subject to minor amendments being made to the thesis or portfolio within 3 months (see Regulation 8.7.2(b) below);
 - iii) **Pass with major corrections** - the candidate be awarded the degree for which examined, subject to major amendments being made to the thesis or portfolio within 6 months (see Regulation 8.7.2(b) below
 - iv) **Re-examination oral only** - the thesis is satisfactory but the candidate must undergo a further oral examination (see Regulation 8.8) within 2 months. This shall be deemed to be part of the first examination of the candidate;
 - v) **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 8.8) within 12 months;
 - vi) **Re-submit thesis with oral examination** the candidate be permitted to be re-examined, with an oral examination (see Regulation 8.8) within 12 months;
 - vii) **Fail** - the candidate not be awarded the degree for which examined and be not permitted to be re-examined (see Regulations 8.7.2e) & f);
 - viii) **Change of award** in the case of an examination for the degree of PhD, the candidate be awarded 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;

- b) The examiners should indicate informally to the candidate 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.
- c) Where the examiners are not unanimous in their recommendations, the University may:
 - i) accept a majority recommendation provided that the majority recommendation is made by at least one external examiner;
 - ii) accept the recommendation of the external examiner(s);
 - iii) appoint an additional external examiner;
- d) An additional external examiner appointed in accordance with Regulation 8.7.2(c)(iii) 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.
- e) The examiners shall not recommend that a candidate fail outright at first attempt [see Regulation 8.7.2(a)(vii)] without holding an oral examination or other alternative examination.
- f) Where the University determines that the degree be not awarded and that no re-examination be permitted, the examiners shall prepare an agreed statement of the deficiencies of the thesis and the reason for their recommendation to be forwarded to the candidate in accordance with the procedures established by the Senate.

8.7.3 *Examiners' Recommendations and Reports*

- a) Following the oral examination, the examiners shall submit a joint report and recommendation relating to the award of the degree;
- b) where they are not in agreement, submit separate reports and recommendations to the Chairperson for the attention of the Graduate School Board;
- c) 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 Graduate School Board (see Regulation 8.7.2).
- d) All formal communications by the examiners at each stage of the assessment and examination process must be sent to the Graduate School.
- e) The joint recommendation made by the examiners submitted following the holding of 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 Graduate School

Board to satisfy itself of the basis of the recommendations (see Regulation 8.7.2).

8.7.4 *Assessment for an MRes by thesis only*

Exceptionally examiners for the award of the degree of MRes may recommend that assessment is by thesis only.

The nominated internal examiner shall inform the University of the recommendation not to hold a viva and the reasons for this recommendation. Following approval of the recommendation by Graduate School Board, the procedures outlined in 8.7.1 and 8.7.2 shall apply.

8.7.5 *Research degrees by publication*

- a) Each candidate will be examined by at least two examiners external to the University appointed according to the Regulations (8.6) pertaining to the conventional PhD route, an internal examiner may also be appointed. Co-authors, advisers or supervisors may not act as examiners.
- b) 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.
- c) At the conclusion of the examination the examiners may recommend to Graduate School Board that:
 - i) the degree of PhD be awarded;
 - ii) the degree of PhD be awarded subject to amendments to the final report;
 - iii) the degree be not awarded;

8.7.6 *Posthumous Awards*

The degree of MRes, MPhil, DBA, DProf, EngD or PhD may be awarded 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.

8.7.7 *Procedural and other Irregularities*

Where there is evidence of procedural or other irregularity in the conduct of the assessment, the examination may be declared null and void with the appointment of new examiners, if necessary.

8.8 RE-EXAMINATION

8.8.1 *General Requirements*

- a) One re-examination may be permitted, subject to the following requirements:
 - a candidate who fails to satisfy the examiners at the first examination including, as applicable, the oral or approved alternative examination [see Regulation 8.6.3(d)], or any further examination required under Regulation 8.7.2(e), shall be permitted to revise the thesis and be re-examined;
 - the examiners 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 submit for re-examination in accordance with the timescales established in reg 8.7.2.
- b) At its discretion, the University may appoint an additional external examiner for the re-examination.

8.8.2 *Form of Re-examination and Recommendations*

- a) The form of re-examination shall be that approved by the University on the recommendation of the examiners at the first examination (see Regulation 8.7.2).
- b) The examiners shall make one of the recommendations provided for under Regulation 8.7.2(a), save that Regulation 8.7.2a) iii, v, & vi) shall not apply.
- c) 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 8.8.2(b)]. It should be noted that the Graduate School Board may require an additional external examiner to be appointed [see Regulation 8.8.1(b)].
- d) The detailed requirements for the form of the re-examination of a candidate must, accord with Regulation 8.7.2.
- e) Following completion of the re-examination of the candidate, the examiners may recommend:
 - i) the candidate be awarded the degree for which examined;
 - ii) the candidate not be awarded the degree for which examined and be not permitted to be re-examined;
 - iii) In the case of an examination for the degree of PhD, the candidate be awarded the degree of MPhil subject to the presentation of the thesis being amended to the satisfaction of the examiners.
- g) 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 Graduate School Board that they do not wish to proceed with the oral component of the assessment. This will only occur when the thesis is so deficient that it cannot be corrected within the bounds of Regulation 8.7.2a(ii). The examiners shall detail the deficiencies in Joint Examiners' Final Report.

- h) No re-examination in whatever form, shall be held without the approval of the Graduate School Board.

8.9 APPEALS, PLAGIARISM, COMPLAINTS AND COPYRIGHT

8.9.1 Academic Appeals

- a) 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.
- b) Refer to Regulation 13 for Grounds for an appeal and procedures.

8.9.2 Cheating and Plagiarism

Definitions

- a) 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.
- b) Refer to Regulation 7.11 for further definitions and procedures.

8.9.3 Complaints Procedure

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.

8.9.4 Copies of the Thesis/Portfolio and Copyright

- a) Following the award of the degree of MRes, DBA, DProf, EngD, MPhil or PhD:
 - i) one electronic copy of the thesis shall be submitted to the Graduate School and submitted in the University's online repository;
 - ii) 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).
- b) Where, because of the nature of the research, approval has been given for the thesis to be treated as confidential (see Regulation 8.2.8), the thesis shall be deposited only with the Graduate School with access

restricted to those directly involved in the research until the expiry of the period of confidentiality.

- c) Each copy of the thesis shall remain the property of the University, but the copyright of the thesis will remain with the candidate.

Appendix 1

Guidance on the Format of the Thesis

- a) 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):
- i) 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;
 - ii) the electronic copy of the thesis shall be submitted as one complete file, including any appendices and supplementary material in PDF format;
 - iii) all margins shall not be less than 15 mm;
 - iv) double or x 1½ spacing shall be used in the formatting except for indented quotations or footnotes where single spacing may be used;
 - vi) pages shall be numbered consecutively through the main text including photographs and/or diagrams included as whole pages;
 - vii) the title page shall give the following information, presented as specified by the University:
 - 1 the full title of the thesis;
 - 2 the full name of the author;
 - 3 the degree for which the thesis is submitted in partial fulfilment of its requirements;
 - 4 that the degree is awarded by the University;
 - 5 the name(s) of any collaborating establishment(s); and
 - 6 the month and year of first submission to the Graduate School, 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.
- b) 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