

## Regulations for Research Degrees

NOTE: These Regulations apply to all research students regardless of year of entry with the exception of the following:

Research students who first enrolled on their doctoral studies before 1<sup>st</sup> August 2016 will follow the progression monitoring timings and procedures that applied to their year of entry and as determined by their Faculty (including those for upgrade/transfer from MPhil to PhD). A summary of the applicable timings, depending on year of entry, is set out in paragraph 62 (*Progression Reviews – Overview*) of the Code of Practice for Research Degree Candidature and Supervision and students should refer to their Faculty for further information. However, note that all upgrade/transfer and confirmation panels must consist of at least two Independent Assessors regardless of the research student's year of entry.

Students who first enrolled on their research degree on or after 1 August 2020 will not be confirmed in Doctoral Candidature by the Faculty following the Second Progression Review (Confirmation) should any mandatory training requirements remain unsatisfactorily completed.

Research students who first enrolled on their doctoral studies prior to 1 August 2020 will follow the nominal registration procedures as set out in the [Regulations for Research Degrees 2019/20](#) (paragraphs 37 to 41 (*Nominal Registration*)) and as set out in the [Code of Practice for Research Degree Candidature and Supervision 2019/20](#) (paragraphs 79 to 80 (*Transfer to Nominal Registration*)).

### Award of the Degree

1. These Regulations apply to all research students at the University of Southampton<sup>1</sup> registered for the degrees of:
  - Master of Philosophy (MPhil)
  - Doctor of Philosophy (PhD)
  - Doctor of Business Administration (DBA)
  - Doctor of Clinical Practice (DClinP)
  - Doctor of Clinical Psychology (DClinPsych)
  - Doctor of Educational Psychology (DEdPsych)
  - Doctor of Medicine (DM)
  - Professional Doctor of Education (EdD)
  - Engineering Doctorate (EngD)

These Regulations will also apply to research students funded by Mayflower Scholarships unless stated otherwise.

2. The Senate may award the degree to research students who have successfully pursued a programme of study as detailed within these Regulations to the satisfaction of the Faculty Education Committee. Any exemptions, variations and additional requirements to these Regulations will be stated in the Academic Regulations ([Section VI of the University Calendar](#)).
3. These Regulations **must** be read in conjunction with the:
  - [Code of Practice for Research Degree Candidature and Supervision](#)

<sup>1</sup> “University of Southampton” and “Faculty” includes any institution accredited by the University of Southampton to supervise the degrees of Master of Philosophy and Doctor of Philosophy as awarded by the University of Southampton. In any instance where a research student is in candidature at an accredited institution, the University of Southampton External Research Degrees Committee (ERDC) will undertake the role of the “Faculty Education Committee”, “Faculty Graduate School Committee”, and “Faculty” as defined within these Regulations.

The principal role of ERDC, which operates as a committee of Senate, is to make decisions on the admission, candidature, progress and examination of all students for research degrees in the Accredited Institution, within the academic areas approved for this purpose by the University of Southampton. ERDC may recommend the award of degrees to Senate.

- [Regulations Governing Special Considerations and Suspension of Candidature for Postgraduate Research Students](#)
- The University's Doctoral or MPhil Programme Profile (or in the case of degrees with a substantial taught element, the programme specification)
- Any relevant Academic Regulations ([Section VI of the University Calendar](#))

## Admission

4. These Regulations must be applied together with:
  - the [Regulations for Admission to Degree Programmes](#)
  - the [Admissions Policies](#)
  - the Academic Regulations applicable to the degree ([Section VI of the University Calendar](#))
  - the [Code of Practice for Research Degree Candidature and Supervision](#) (paragraphs 10 to 20 (*Selection and Admission of Research Students*))
5. Applicants for a research degree shall hold an undergraduate honours or Master's degree in a suitable subject of any approved higher education institution or whatever award and/or range of experience is deemed equivalent by the Faculty Graduate School Committee using the selection procedures specified in paragraph 13 of the [Code of Practice for Research Degree Candidature and Supervision](#) and the guidance on recognition of prior [experiential and/or certificated] learning as set out in the [Recognition of Prior Learning Policy](#). Applications from individuals with other non-standard qualifications must be approved by the Associate Dean (Education) on a case-by-case basis. Applicants may be admitted on transfer from another higher education institution according to the guidelines set out in the [Code of Practice for Research Degree Candidature and Supervision](#) (*Selection and Admission of Research Students – Transferring from another institution*).
6. Applicants satisfying the requirements for candidature may be admitted provided the Faculty Director of the Graduate School is satisfied with their chosen subject for research, that there is access to appropriate resources and facilities, and that, at the point of acceptance, there are satisfactory supervisory arrangements in place for the applicant.
7. In approving the acceptance of an applicant, the Faculty Director of the Graduate School shall agree the effective starting date which, in exceptional circumstances, may be backdated by no more than three months.
8. These Regulations apply to any research student registered at the University of Southampton, irrespective of the location in which they undertake the work of their degree.

## Candidature

9. Research students shall undertake supervised study, including research and generic skills training on a full-time or part-time basis as specified in paragraph 19 of these Regulations (*Duration of Research Degrees*). The degree shall be pursued in the University except in the case of research students for whom joint supervisory arrangements have been approved (in accordance with paragraph 11 of these Regulations), or in other special cases where the Faculty Graduate School Committee permits a period to be spent elsewhere.
10. Mayflower Scholars will also spend 25% of their time undertaking a teaching apprenticeship consisting of appropriate professional development and educational experience such as acting as a teaching assistant.
11. The Faculty Graduate School Committee may approve arrangements for an individual research student to receive supervision provided jointly by the University and another institution in accordance with the policy on [Research Degrees that include Periods of Off-Campus Study](#). In such cases, the Faculty Graduate School Committee may permit a period or periods of study to be undertaken at the other institution. The minimum period of full-time study at the University shall be twelve months for research students of jointly-supervised research degrees with approved institutions.
12. The University may, from time to time, formally admit an appropriate institution to a special relationship for the purpose of furthering co-operation in teaching and research. An individual

holding an academic or research appointment in such a link institution may be registered in part-time candidature for a research degree. Such individuals will normally be expected to meet the terms and conditions as specified within the [Regulations for Members of Staff in Candidature for the Degree of Doctor of Philosophy](#).

13. A member of staff of the University of Southampton may be admitted to part-time candidature for the degree of Doctor of Philosophy (PhD) in accordance with the [Regulations for Members of Staff in Candidature for the Degree of Doctor of Philosophy](#) on the recommendation of the Faculty Graduate School directorate, and with the approval of the Associate Dean (Education) in their capacity as Chair of the Faculty Education Committee following consultation with the relevant Head of School or Professional Service.
14. A research student in candidature for the degree of Doctor of Philosophy may be permitted, at any time prior to the submission of the thesis, to transfer to a programme leading to the degree of Master of Philosophy. The period spent in candidature up to the point of transfer will be counted towards the period of candidature required for the degree to which the transfer is made. Details of the permission required to transfer to other programmes will be detailed in the Academic Regulations ([Section VI of the University Calendar](#)).
15. A research student funded by a Mayflower Scholarship who does not wish to continue with their teaching apprenticeship may transfer their candidature to a standard PhD (or MPhil) programme subject to adequate funding being available.

## Additional Requirements for Professional Doctorates

16. Professional doctorates including the Doctor of Education [EdD], Doctor of Clinical Psychology [DClinPsych], Doctor of Educational Psychology [DEdPsych], Doctor of Clinical Practice [DClinP], and the Engineering Doctorate [EngD], shall additionally contain a combination of taught compulsory and/or elective modules and individual and/or group projects. The combination of these elements, including specific pass marks, are detailed in the Academic Regulations ([Section VI of the University Calendar](#)). Research students who fail to complete the requirements as set out in the Academic Regulations ([Section VI of the University Calendar](#)) will be deemed by the relevant Faculty Education Committee to have failed the degree.
17. Paragraph 9 of the University's [Code of Practice for Research Degree Candidature and Supervision](#) (*Doctoral Degrees with a Substantial Taught Element*) refers to the structure and levels for professional doctorates, together with the QAA's document [The Frameworks for Higher Education Qualifications of UK Degree-Awarding Bodies, October 2014](#).

## Additional requirements for Integrated PhDs

18. Integrated PhDs are typically structured as follows, with any specific additional requirements detailed in the Academic Regulations ([Section VI of the University Calendar](#)):
  - In the early stages of their programme, research students will be required to follow a prescribed programme of modules. Research students who complete these modules and pass the required assessments at the specified standard will be permitted to proceed to the research phase of the programme. This may also lead to the award of MA, MSc or MRes as defined in the relevant Academic Regulations ([Section VI of the University Calendar](#)). The right of referral or repeat will be defined in the relevant Academic Regulations ([Section VI of the University Calendar](#)). In the event of failure to achieve the required standard following referral or repeat, such research students may be eligible for an exit award of a Diploma or Master's Degree, subject to further academic work and dependent upon the requirements of the relevant programme specification.
  - The remainder of the research student's programme will be devoted to supervised research and preparation of a thesis and may include the completion of further modules, training and development.

## Duration of Research Degrees

19. The duration of each research degree is set out in the following table.

Degree	Minimum Length of Candidature		Maximum Length of Candidature	
	Full-time	Part-time	Full-time	Part-time
<b>Doctor of Philosophy (PhD)</b>				
PhD – Standard Route	24 months	36 months	48 months	84 months
PhD – Standard Route (registered concurrently on PGCAP) <sup>2</sup>	36 months	-	48 months	-
PhD – integrated Route	36 months	48 months	60 months	96 months
PhD – Mayflower Scholar	24 months	-	60 months	-
PhD – Mayflower Scholar (registered concurrently on PGCAP) <sup>2</sup>	36 months	-	60 months	-
PhD – Staff Candidature (PhD by Published Work)	-	3 months	-	12 months
<b>Professional Doctorates</b>				
Doctor of Business Administration (DBA)	-	36 months	-	84 months
Doctor of Clinical Practice (DClinP)	36 months	48 months	48 months	84 months
Doctor of Clinical Psychology (DClinPsych)	31 months	-	36 months	-
Doctor of Educational Psychology (DEdPsych)	31 months	-	36 months	-
Professional Doctor of Education (EdD)	36 months	48 months	60 months	84 months
Engineering Doctorate (EngD)	36 months	48 months	60 months	96 months
Doctor of Medicine (DM)	-	24 months	-	48 months
<b>Master of Philosophy (MPhil)</b>				
MPhil – Standard Route	12 months	24 months	48 months	84 months
MPhil – Standard Route (registered concurrently on PGCAP) <sup>2</sup>	24 months	-	48 months	-
MPhil – Mayflower Scholar	12 months	-	60 months	-
MPhil – Mayflower Scholar (registered concurrently on PGCAP) <sup>2</sup>	24 months	-	60 months	-

20. The period of candidature for a research degree ends when the thesis is submitted. The table above states the minimum and maximum period of candidature. Periods of nominal registration count towards the maximum period of candidature (see Nominal Registration (paragraphs 36 to 40 of these Regulations (*Nominal Registration*)).
21. In practice, the period of candidature will usually be longer than the minimum period. In exceptional circumstances, when the research student has successfully completed their Second Progression Review (Confirmation of Doctoral Candidature) and where the research student is able to submit a thesis of sufficient quality, they may be permitted to submit a thesis earlier than the specified minimum period of candidature. In such a case, the request must be made by the main supervisor to the Faculty Director of the Graduate School for recommendation to the Associate Dean (Education), in their capacity as Chair of Faculty Education Committee, for approval.
22. A research student who fails to submit a thesis by the end of the maximum period of candidature shall be deemed to have withdrawn from the degree.

<sup>2</sup> With the permission of the Faculty Graduate School directorate, a research student registered for a research degree may be permitted to register concurrently for a Postgraduate Certificate of Academic Practice (PGCAP).

## Supervision

23. Every research student shall be assigned a supervisory team which will consist of at least two supervisors from the University of Southampton. At least one of these (the co-ordinating supervisor should be a permanent academic member of University of Southampton staff (see paragraph 27 of these Regulations). Paragraph 38 of the [Code of Practice for Research Degree Candidature and Supervision](#) (*Responsibilities of the Supervisory Team*) sets out the responsibilities of the supervisory team.
24. Every research student holding a Mayflower Scholarship will be allocated a team responsible for providing mentoring, delivering the appropriate professional development, and managing and setting expectations in relation to the teaching undertaken by the Mayflower Scholar.
25. The person responsible for managing the research student's teaching will not normally be part of the supervisory team responsible for their research.
26. The **main supervisor** will be an academic member of University of Southampton staff, or a senior member of honorary clinical staff in the Faculty of Medicine and the Faculty of Environmental and Life Sciences. A member of staff employed by the Natural Environment Research Council at the National Oceanography Centre, or a visiting academic may be appointed to the supervisory team as a main supervisor (but may not take the role of co-ordinating supervisor). The main supervisor should have an employment contract that is valid for at least the maximum remaining period of the research student's candidature. An academic member of staff on probation or a professor emeritus may not be appointed as main or co-ordinating supervisor. The main supervisor has responsibility for the supervision of the design and progress of the student's research project and for providing academic advice to the research student. The main supervisor should be available to provide guidance and direction on a regular basis.
27. The **co-ordinating supervisor** must be a permanent academic member of University of Southampton staff. The main supervisor will normally also undertake the role of co-ordinating supervisor. The co-ordinating supervisor is responsible for ensuring that the administrative processes are completed in a timely manner throughout a research student's candidature.
28. Second or co-supervisors may either be academic members of University of Southampton staff or be affiliated to the University through working in organisations such as the NHS or NERC. Supervisors affiliated with the University should have a visitor contract or honorary contract, and should be approved by the Faculty Graduate School Committee as having close links with the University and the research student's programme of study.
29. Supervisors working for other organisations may be appointed as external supervisors. External supervisors can be added to the supervisory team in order to provide specialist expertise or if a funder requires it.
30. Research students undertaking research degrees which include a substantial taught element will be assigned tutor(s) relevant to that phase of the degree. These tutors are not excluded from forming part of the research supervisory team.
31. Every research student will complete an initial Academic Needs Analysis with their supervisory team within the first three months of their candidature or the research phase of their studies, as appropriate. Research students are required to take part in a training programme which addresses research/generic/transferable skills and may include a both compulsory and optional elements, the former as determined by the Faculty and Doctoral College.
32. Every research student funded by a Mayflower Scholarship will take part in an individualised assessment of their training needs with regard to teaching at the commencement of their studies.

## Progression

33. Every research student will be required to undertake Progression Reviews at fixed points during the course of their candidature as specified in the [Code of Practice for Research Degree Candidature and Supervision](#). If, following a second attempt at a Progression Review, progress is

deemed unsatisfactory, the Faculty Education Committee may recommend termination of candidature to Senate. The progress of a research student, may also, at any other time be reviewed. If progress is unsatisfactory and if, after due warning, there is insufficient improvement, the Faculty Education Committee may recommend termination of candidature to Senate in line with the [Procedures for circumstances that may lead to termination of postgraduate research degree candidature](#). A research student may appeal against the decision by using the procedure set out in the [Regulations Governing Academic Appeals by Students](#).

34. A research student in candidature for a doctoral level degree must satisfactorily complete the required confirmation process according to the procedures and mandatory training requirements specified in paragraphs 64 to 74 of the [Code of Practice for Research Degree Candidature and Supervision](#) (*The Second Progression Review (Confirmation of Doctoral Candidature)*). A research student who does not successfully complete the required confirmation process may be offered the opportunity to transfer onto the degree of MPhil, or an alternative as detailed in the Academic Regulations ([Section VI of the University Calendar](#)).
35. If the performance of a research student funded by a Mayflower Scholarship in their teaching apprenticeship does not meet the agreed expectations, they may transfer to a standard MPhil/PhD programme subject to adequate funding being available.

## Nominal Registration

36. Nominal registration is a process that must be requested by the research student and supported by the main supervisor. The Faculty Director of the Graduate School may permit a full-time research student to transfer to nominal registration for a period not exceeding six months (twelve months for part-time students) prior to submission of the thesis. In supporting the application, the research student's main supervisor must be able to confirm that:
  - the minimum period of candidature, as detailed in paragraph 19 of these Regulations (*Duration of Research Degrees*), has been completed;
  - confirmation/upgrade has taken place (in the case of a doctoral level student);
  - all research (including experimental/laboratory work) and/or data collection has been completed;
  - no further supervision of the research is required;
  - the structure of the thesis has been agreed and that the supervisory team has seen a significant part of the thesis in draft form and has provided feedback; a definite date for submission has been agreed with the supervisory team and this date is not beyond the existing maximum length of candidature;
  - the prescribed programme of taught modules has been successfully completed as required in the Academic Regulations ([Section VI of the University Calendar](#));

A research student who has been transferred to nominal registration cannot expect further close supervision of the preparation of the thesis.

Support and guidance from supervisors may be permitted during any period of nominal registration but this must be limited to assisting the research student in the completion of the thesis for its submission by the declared date.

37. A single fee becomes payable (see [Section IV](#) of the University Calendar for fees information) at the start of the nominal registration period. In exceptional circumstances, and on the authority of the Dean of the Faculty, this fee may be waived following an application to the Faculty Director of the Graduate School.
38. A research student may apply to the Faculty Special Considerations Board to extend the period of nominal registration beyond six months (twelve months for part-time students), taking account of paragraphs 43 and 44 of these Regulations (*Extension of Candidature*). Any decision to extend the period of nominal registration must be granted only on exceptional grounds, e.g. those that were not evident at the time of the transfer to nominal registration such as a chronic medical condition that has developed since the transfer to nominal registration).
39. Periods of nominal registration count towards the maximum period of candidature. A research student's candidature will be reduced by the equivalent period should they transfer to nominal registration more than six months before the end of their maximum period of candidature

(twelve months for part-time students). Furthermore, a student may not have transferred from full-time to part-time candidature within the previous six months of the request to transfer to nominal registration.

40. A research student may be permitted to suspend their candidature when in nominal registration (see paragraphs 41 to 42 of these Regulations (*Suspension of Candidature*)).

## Suspension of Candidature

41. Research students must continue in registration for the degree until such time as they submit their thesis or withdraw, except where a suspension of candidature is permitted in accordance with the [Regulations Governing Special Considerations and Suspension of Candidature for Postgraduate Research Students](#). The maximum continuous period of suspension permitted during candidature will be in accordance with the [General Regulations: Transfer, Suspension, Withdrawal and Termination \(Section IV of the Calendar\)](#). In the case of funded research students, due regard should be given to funder rules governing suspension. Periods of suspension shall not count towards the maximum period of study.
42. Research students in suspension should not receive supervision but will typically retain access to email and library facilities.

## Extension of Candidature

43. The minimum and maximum periods of candidature should be strictly adhered to. Extensions of candidature beyond the maximum specified in paragraph 19 of these Regulations (*Duration of Research Degrees*), will be permitted only in accordance with the [Regulations Governing Special Considerations and Suspension of Candidature for Postgraduate Research Students](#) and the relevant fee will be charged in accordance with the research student's enrolment status.
44. Due regard should be given to limits or conditions placed on extensions by a research student's funding body on the expectation of submission within a specified funding period, together with any penalties or sanctions which may apply to the University or the research student if funded students are permitted to extend their study period.

## Withdrawal and Termination of Candidature

45. The [Transfer, Suspension, Withdrawal and Termination regulations \(Section IV of the Calendar\)](#) apply to all students registered at the University of Southampton. In addition, the [Procedures for circumstances that may lead to termination of postgraduate research degree candidature](#) apply specifically to research students and cover circumstances where:
- termination of candidature is proposed as a result of a recommendation from a Progression Review;
  - termination of candidature is proposed as a result of failure to undertake the expected responsibilities of a research student;
  - termination of candidature is proposed due to lack of contact or failure to return from a period of approved suspension of candidature;
  - termination of candidature is proposed as a result of failure to submit a thesis by the end of the maximum period of candidature.

## Submission of Thesis

46. After completion of the minimum period of candidature, a thesis may be submitted for examination in accordance with the instructions in the document [Submitting your thesis – a guide for research students](#).
47. In the case of a research student transferring from another institution to the University of Southampton, submission of the thesis is not permitted earlier than 12 months from the date of transfer, even if the research student has already had their doctoral status confirmed at their previous institution.



48. Alternative formats of thesis submission may be permitted in certain disciplines as detailed in paragraphs 86 to 88 of the [Code of Practice for Research Degree Candidature and Supervision \(Alternative Formats of Thesis Submission\)](#).
49. A research student who is about to submit a thesis shall give at least two months' prior notice in writing (using the [Intention to Submit form](#)) to the Faculty Graduate School Office which shall include the full title of the thesis. The two months' notice may not include periods of suspension. Advice should be sought from the Faculty Graduate School Office regarding the date by which the research student must give notice of intention to submit should they wish to attend a graduation ceremony at the University of Southampton
50. The submission shall be made within the maximum length of candidature permitted for the degree, excluding periods of suspension. In cases where there have been periods of full-time and part-time candidature, the maximum permitted period of candidature shall be proposed by the Faculty Graduate School Office, and agreed by the Faculty Director of the Graduate School as outlined in the guidance [Determining the maximum period of candidature when changing between full- and part-time study](#). Where periods of extension are approved in accordance with the [Regulations Governing Special Considerations and Suspension of Candidature for Postgraduate Research Students](#), these will be added to the research student's maximum period of candidature.
51. With the exception of restrictions on access as defined in paragraph 52 of these Regulations, research work submitted as a thesis for a research degree shall be openly available and subject neither to security classification nor to restriction on access. Research students may publish the whole or part of their work prior to its submission as a thesis, provided that in the published work it is nowhere stated that it is in consideration for a research degree.
52. In exceptional circumstances access to a thesis may be restricted through embargo by the Faculty Director of the Graduate School in their capacity as Chair of Faculty Graduate School Committee, where such restriction is regarded as desirable on commercial grounds or pending patent applications, or as necessary to maintain confidentiality. The period of restriction shall be determined by the Faculty Director of the Graduate School but shall normally not exceed three years from the date of examination. After three years the period of restriction may be subject to extension in some circumstances and will require the approval of the Director of the Doctoral College. Approval of restriction of access to a thesis should be reported to the University Library, using the [Permission to Deposit thesis form](#), who will maintain a master list to be presented annually to the Doctoral College Board.
53. On submission of a thesis for examination, a research student shall be required to sign a [Declaration of authorship](#), which will be bound into the thesis. This declaration will state that the thesis is the result of work done wholly or mainly while the research student was in candidature at the University of Southampton; that where the thesis is based on work done by the research student jointly with others, a substantial part is the original work of the research student; and the extent to which the thesis incorporates material already submitted for another degree.
54. A thesis may not exceed 75,000 words in length in the case of a PhD, or 50,000 words in the case of an MPhil. A thesis submitted for an MPhil after a PhD examination is not subject to a maximum length of 50,000 words but must not exceed 75,000. Where appropriate, a higher word limit for a specific discipline (or an individual research student) may be approved (as detailed in paragraph 83 of the [Code of Practice for Research Degree Candidature and Supervision \(Maximum Length of Thesis\)](#)). The maximum length does not include supporting material or evidence which may be bound in as appendices. Appendices should be clearly marked as such and listed on the contents page. If appendices are submitted in separate volumes, they must be prepared and bound in the same style as the thesis. All supporting material or evidence will be available to the examiners and will form part of the record. Research students who exceed the word limit without prior approval of the Faculty Director of the Graduate School, may be required by the examiners to resubmit in a form which does not exceed the stipulated length.
55. Research students should refer to the [Code of Practice for Research Degree Candidature and Supervision](#) and the [Research Data Management Policy](#).



## Examination

56. For each research student (with the exception of those in staff candidature for whom the [Regulations for Members of Staff in Candidature for the Degree of Doctor of Philosophy](#) apply), normally one internal and one external examiner shall be appointed to examine the thesis. In exceptional cases, one additional external examiner may be appointed. No member of the supervisory team may be appointed as an internal examiner, nor may they take part in the judgement of the thesis under consideration in any other way. In addition, other researchers who have had any co-authoring or collaborative involvement in the research student's work, or whose own work is the focus of the research project such that there would be a conflict of interest or potential lack of objectivity, may not be appointed as internal or external examiners. Members of staff who have had pastoral involvement with the research student such that objectivity would potentially be affected may also not be appointed to the examining team. One examiner, either the internal or the external, may be drawn from the confirmation panel (e.g., an internal member of staff who acted in the role of independent 'assessor' or an external 'assessor' if used) provided that they have had no further material contact with the research project since the confirmation and that the other examiner is entirely new to the project.

A supervisor should be available to provide clarification at the *viva voce* if requested by the examiners. At the request of the research student, one member of the supervisory team may be invited to attend the *viva voce*. A supervisor who is in attendance at the *viva voce* will not play an active role in the examination and may not take part in the judgement of the thesis under consideration. Such requests should be made in writing, by the research student, to the Faculty Graduate School Office, for consideration by the Faculty Director of the Graduate School.

57. The research student will be required to attend for a *viva voce*. In conducting the examination, reasonable adjustments will be made, where necessary, to accommodate any additional needs of the research student.

## Outcomes of the Examination

58. The examiners shall recommend one of the following courses of action. For research students studying for a research degree with a substantial taught component, recommendations (a) to (f) will also be subject to the satisfactory completion of the taught element of the degree.

- a) That the degree for which the research student has submitted is awarded.
- b) That the degree for which the research student has submitted is awarded subject to minor amendments to the thesis being made by a date specified.

Such amendments include: minor errors/omissions of substance, typographical errors, occasional stylistic or grammatical flaws, corrections to references, minor changes to figures, and minor changes to layout, and require no new research. These amendments need only be certified by the internal examiner.

The date specified for the submission of the minor amendments should normally be no later than three months after the formal notification to the research student.

The examiner is permitted, on receipt of the amended thesis, to request that the student make a further attempt to complete the required amendments but these should only address points raised in the original examination process (e.g. when a student has failed to make all amendments required to the satisfaction of the internal examiner). The further attempt should be completed and submitted within a timescale specified by the internal examiner, which should be no longer than the timescale given for the first attempt.

- c) That the degree for which the research student has submitted is awarded subject to the correction of modest amendments to the thesis being made by a date specified

Such amendments include: modest errors/omissions of substance and may require limited further analysis but only to an extent which will not affect the originality of the central thesis. The amendments will be of a scale to be certified by both the internal and external examiners, though will normally not be so extensive that an additional *viva voce*

is required.

The date specified for the submission of the modest amendments should normally be no later than six months after the formal notification to the research student. Should the examiners wish to request a longer time period (of nine months), an academic rationale should be provided for consideration by the Faculty Director of the Graduate School.

The examiners are permitted, on receipt of the amended thesis, to request additional amendments but these should only address points raised in the original examination process (e.g. when a student has failed to make all amendments required to the satisfaction of the examiners). Additional amendments should be completed and submitted within a timescale specified by the examiners, which should be no longer than the timescale given for the first attempt.

- d) That the research student is required to attend an additional *viva voce* within three months of the date of the original examination.
- e) That the research student is required to submit, by a date specified, a revised thesis for the same degree for re-examination (including attendance at an additional *viva voce*) on one subsequent occasion.

The date specified for submission of the revised thesis should normally be no later than twelve months after the formal notification to the research student. The research student will be liable to pay a re-examination fee at the time of submission as set out in the [Fees, Charges and Expenses Regulations \(Section IV of the University Calendar\)](#). As a fee is payable, the Fees Office should be informed when a research student has been asked to submit a revised thesis.

- f) That in the case of a research student who has failed to satisfy the examiners, and where a Master of Philosophy is available as an exit award, they are invited to apply, by a date specified, for that award in accordance with one of the following recommendations:
  - (i) that the degree of Master of Philosophy is awarded (as per (a) above);
  - (ii) that the degree of Master of Philosophy is awarded subject to minor amendments to the thesis being made (as per (b) above);
  - (iii) that the degree of Master of Philosophy is awarded subject to modest amendments to the thesis being made (as per (c) above);

In such circumstances, the submission must meet the criteria for the award of MPhil.

- g) That the degree for which the research student has submitted is not awarded, resubmission is not permitted, and the research degree is terminated.

It should be noted that where the recommendation of the examiners is for re-examination at a later date as set out in paragraph 58 (e) of these Regulations, options (d) and (e) are not available as outcomes at the later re-examination.

- 59. A research student must satisfy the examiners in both the thesis and the *viva voce*. A research student may fail the examination because of the thesis, the *viva voce*, or both. The examiners may therefore recommend re-examination only in that part in which the research student failed.
- 60. A research student who fails to submit a corrected or revised thesis by the date set by the examiners shall normally be regarded as having failed the examination, the recommendations of the examiners shall lapse and the candidate shall be deemed to have withdrawn from the degree. In exceptional circumstances, a revised date for submitting corrections may be approved in accordance with the [Regulations Governing Special Considerations and Suspension of Candidature for Postgraduate Research Students](#).
- 61. The [Regulations Governing Academic Appeals by Students](#) sets out the procedure to be followed should a research student consider they have grounds to appeal against any academic decision made by the University. A research student cannot appeal against poor teaching or supervision (see the [Regulations Governing Student Complaints](#)).

**Revision History**

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*Amendments approved by UPC in July 2012*

*Reviewed in July 2012; no changes made*

*Amendments approved by UPC in April and May 2013 and by Senate in June 2013*

*Amendments approved by AQSC in May 2014 and by Senate in June 2014*

*Amendments approved by AQSC in July 2015 and by the Vice-Chancellor on behalf of Senate in July 2015*

*Amendments approved by AQSC in May 2016, by AQSC in June 2016 [Chair's Action], and by Senate in July 2016*

*Amendments approved by AQSC in May 2017 and by Senate in June 2017*

*Amendments approved by AQSC in May 2018 and by Senate in June 2018*

*Amendments approved by AQSC in May 2019 and by Senate in June 2019*

*Amendments approved by AQSC in July 2020 and by Senate in July 2020*

*Amendments approved by AQSC in May 2021 and by Senate in June 2021*

*Amendments approved by AQSC in May and July 2022 and by Senate in June and July 2022*