

EXTERNAL EXAMINERS GUIDE TO A

POSTGRADUATE RESEARCH (

PGR

)

EXAMINING COMMITTEE

This Document has been produced by Student Business as a guide for External Examiners and was last updated **9 October 2018**. The document details the process of a PGR examination and viva. Doctor of Philosophy (PhD) Version

**The Extracts below have been taken from :-**

**University Postgraduate Constitutional Regulations Version 1.1 (15.5.13)**

**Policy and Code of Practice of Postgraduate Research Programmes Version 2.1 (25.01.17)**

[CONTENTS Page 1 A step by step guide to PGR examination 3](#_Toc36038)

[2 Examination Committee and External Examiners 4](#_Toc36039)

[2.1 External Examiner 4](#_Toc36040)

[2.2 Internal Examiner 4](#_Toc36041)

[2.3 Convenor 4](#_Toc36042)

[2.4 Operation of the Examining Committee 5](#_Toc36043)

[2.5 Recommendations of the Examining Committee 5](#_Toc36044)

[2.6 Academic Integrity 6](#_Toc36045)

[2.7 Academic Appeals 6](#_Toc36046)

[2.8 Student/Doctoral Candidate Complaints other than Academic Appeals 7](#_Toc36047)

**Annex 1**

 **University Research Development Programme 8**

 **Annex 2**

 **Research Doctorate Characteristics 9**

 **Annex 3**

 **Professional Doctorate Characteristics 11**

 **Annex 4**

 **Master by Research Characteristics 13**

 **Annex 5**

 **External Examiners Expenses Guidelines 14**

 **Extract form the General Regulations for Higher Degrees**  **15**

**1 A step by step guide to PGR Examination/viva process**

* Appointment accepted by External Examiner(s).
* Thesis is sent to External and Internal Examiners by Student Business.
* Department/Convenor will contact both Examiners to finalise date for Viva.
* If no viva, Examiners will devise their own method of communication for Examination.
* Once Viva/Examination takes place, student formally advised of the outcome by the Examiners.
* Examiners’ Report form to be completed and signed by External Examiner, Internal Examiner and Convenor.
* Convenor records Examination outcome and uploads copies of completed and fully signed Examiners’ reports to PGR Examination Process (Sharepoint System).
* Student Business will notify student of outcome.
* External Examiner submits claim for Expenses.

If outcome is:

* **Award**: No further action required by External Examiner.
* **Minor Corrections:** These can be overseen by the Internal Examiner only, or the full Examining Committee. If full Committee, the External Examiner requires sight of the corrections and to submit confirmation in writing (e.mail) that they have signed off on the amendments.
* **Resubmission:** This can be within 12 or 18 months, with our without an oral examination. The External Examiner will be sent a fresh copy of the thesis once resubmitted. Thesis should be resubmitted to Student Business.
* **Resubmission after further research:** This can be within 18 months and an oral examination must take place. The External Examiner will be sent a fresh copy of the thesis once resubmitted.
* **No Award:** No further action required by External Examiner.

For the following Higher Degree examinations, exceptionally the Examiners can award a lower degree or recommend the thesis be amended and submitted for a lower degree award:

 PhD / EngD / DBA / EdD / DEdPsy / DPharm

## 2 Examination Committee and External Examiners

The Examining Committee normally comprises at least two active researchers – an Internal Examiner who is not part of the supervisory team and an External Examiner (two External Examiners in the case of a Doctorate by Publication) – and a Convenor, who is not part of the supervisory team

The Responsible Person, in consultation with the Supervisors and the relevant Vice-Dean of the Faculty, nominates the members and the Convenor of the Examining Committee for endorsement by the Vice Dean and Quality Assurance Committee. The Examining Committee should be appointed and approved before the thesis is submitted.

### 2.1 External Examiner

The External Examiner will in many cases be a senior member of the academic staff in the appropriate discipline of another higher education institution. He or she will normally be expected to have a proven publication record in the field of study.

In some cases, (in respect of relevant programmes such as the EngD and Professional Doctorates) Examiners from industry, commerce, professional practice and other organisations may be best suited to examining the research.

Additionally, an External Examiner should not normally:

* be an honorary member of the University of Strathclyde;
* have been a member or honorary member of the staff of the University of Strathclyde in the three years prior to the assessment or whilst the student/doctoral candidate has been carrying out research at the University if this is more than three years;
* have had any significant contact of a supervisory nature with the student/doctoral candidate or his or her research project; or
* be appointed in one Faculty more than five times in three years.

### 2.2 Internal Examiner

The Internal Examiner is expected to have sufficient knowledge and understanding of the topic to enable him or her to judge the quality of the thesis and to play a full part in the examination.

### 2.3 Convenor

The Convenor will be a member of staff of the University who is not the Supervisor or Second Supervisor.

The Convenor will not also be one of the Examiners.

The Convenor is responsible for convening the committee, ensuring the receipt of preliminary reports from the Examiners, and for resolving any disagreements which may arise.

The Convenor is responsible for taking notes of the viva that clearly evidences the process, indicating:

* A basic record of the topics discussed;
* The time allocated to each topic area of the examination; - The timing of any breaks taken.

It is not intended that this be a verbatim record of the viva. The Convenor is responsible for returning this record to SEES together with the External Examiners’ report form via the PGR Examination Process (Sharepoint System).

### 2.4 Operation of the Examining Committee

The Examiners scrutinise the candidate’s dissertation or thesis and are required to submit an individual written critique to the Convenor prior to a meeting of the Examining Committee.

The Examining Committee normally conducts an oral examination for Doctoral candidates. For Masters candidates, the Committee may at its own discretion:

* conduct an oral examination;
* meet to confirm the outcome without conducting an oral; or
* complete the assessment by correspondence.

For both Doctoral and Masters orals, the Convenor of the Examining Committee may, after consultation with the candidate, invite the Supervisors to attend the oral examination and dissertation of the examiners in a non- voting capacity.

### 2.5 Recommendations of the Examining Committee

The Examining Committee bases its recommendation on the candidate’s thesis and, if appropriate, his or her performance in any oral examination.

The Examining Committee makes its recommendations to the Vice Dean for approval.

Recommendations may be any one of the following:

1. approval of the award of the degree by the Vice Dean;
2. approval of the award of the degree by the Vice Dean; after minor amendments to the thesis

(Doctoral level) or Dissertation (Masters level) have been made subject to the satisfaction of the Internal Examiner or the full Examining Committee;

1. the thesis (Doctoral level) or Dissertation (Masters level) be revised in the light of advice from the Examiners and resubmitted for the same degree within a specified period. A re-examination will be required either with oral or without an oral examination;
2. the thesis be re-submitted after further research as indicated by the examiners and a further oral examination be held within 18 months or earlier;
3. the Doctoral thesis is not of the standard required but
	* may be accepted as satisfying the requirements of a Masters degree. In this event the Examiners shall report to the relevant Board of Study which will submit to the Vice Dean a full and detailed statement; or
	* may be amended and submitted for a Masters degree; VI. no degree be awarded and no right of resubmission.

The appropriate Doctor of Philosophy Examiners’ Report form is available from Student Business on request by emailing: studentbusiness-pg@strath.ac.uk

The Examiners prepare and sign a joint report which includes a summary *Pro Forma*. Sample Examiner Report forms are available to view on the SEES website. A hard copy version of the form is sent to the External Examiner by SEES together with the thesis and other relevant information.

The Examiners’ Report will either make an agreed recommendation or record particulars of any disagreement along with a proposal for resolution. The Report should provide clear justification for the Examining Committee’s decision and Examiners should be aware that this is likely to be made available to the candidate.

In the event of small differences of judgement within the Examining Committee, External Examiners’ views will normally prevail.

The Convenor must report more significant disagreements to the Faculty Board of Study together with a proposal for resolution. The Convenor may in such circumstances seek approval from the Board of Study for the appointment of a second External Examiner.

The Convenor will return the Examiners’ Report to SEES, countersigned to certify that all the instructional elements of the course have been successfully completed, and inform the candidate and the Responsible Person of the outcome and recommendations of the Examining Committee. SEES will forward any award recommendation to the Faculty Board of Study and Senate for ratification.

SEES will provide a written confirmation to the candidate subject to ratification by the Board of Study and Senate.

For a candidate who is required to resubmit, the Convenor or Internal Examiner will communicate to him or her what further work is required.

### 2.6 Academic Integrity

*University Procedures and Guidelines for Dealing with Possible Instances of Academic Dishonesty* should be followed in all cases of alleged academic dishonesty and, in particular, in all instances staff should endeavour to ensure that appropriate communication has taken place with the student/doctoral candidate regarding the allegations and possible subsequent actions and outcomes. The student/doctoral candidate must be afforded appropriate opportunity to discuss the matter and intimate any mitigating circumstances.

###  2.7 Academic Appeals

The letter to a student/doctoral candidate informing him or her of a decision to transfer or terminate his or her registration or not to award a degree includes notification of the right to appeal in writing to the Faculty Board of Study on any of the grounds set down in University Regulations 20.1.35-36 and 20.2.34-35 (Doctoral level) and 20.3.26-27 and 20.4.33-35 (Masters level)

The letter also gives notice of the date by which the student/doctoral candidate must lodge any appeal with the Faculty Manager. Students/doctoral candidates may obtain further information on the appeals process from the Faculty Manager where necessary.

The Faculty sets up an Appeals Panel of impartial academic staff with a Senior Academic Officer of the Faculty as Convenor. The Faculty Appeals Panel decides the outcome of the Faculty Appeal, operating in accord with the principles of natural justice and the maintenance of academic standards.

In the event that the Faculty does not uphold a student’s/doctoral candidate’s appeal, the student/doctoral candidate is informed of this and of his or her further right of appeal to Senate. A student/doctoral candidate must submit his or her Senate Appeal to the Head of the Academic Office within six weeks of the outcome of the preceding Faculty Appeal being notified to the student/doctoral candidate.

Students/doctoral candidates may obtain further information on the appeals process from the Secretary to the Senate Appeals Committee where necessary.

The Senate sets up an Appeals Committee of impartial Senate members with a Senior Academic Officer of the University as Convenor. The Senate Appeals Committee makes a final decision on the Senate Appeal, operating in accord with the principles of natural justice and the maintenance of academic standards.

Students/doctoral candidates may obtain assistance in preparing appeals from the Student Advisory and Counselling Service or the University of Strathclyde Students’ Association.

### 2.8 Student/Doctoral Candidate Complaints other than Academic Appeals

Students/doctoral candidates are encouraged to raise any complaints about their studies or about University services directly with those concerned in the first instance. University staff will consider such complaints fairly and do their best to resolve any difficulties.

If a student/doctoral candidate is dissatisfied with the response to an informal complaint/enquiry/request for assistance, then a formal written complaint may be made to the Responsible Person or the Director/Head (as appropriate) of the Support Service concerned.

If the student/doctoral candidate remains dissatisfied with the response to a first formal complaint, then he or she can pursue the matter further, making a final complaint by writing to:

1. the Dean of the Faculty concerned (in the case of complaints about academic matters);
2. the University’s Chief Operating Officer (in the case of complaints about services or about discrimination or harassment).

The recipient of a formal written complaint (first or final) will appoint a reviewer to consider the complaint in confidence and without bias. The reviewer may be the recipient of the formal complaint themselves or his or her nominee(s). The reviewer consults as appropriate and keeps the student/doctoral candidate informed of the progress of enquiries, reporting the final outcome to the student/doctoral candidate as soon as practicable.

**Annex 1**

**University Researcher Development Programme**

#### Researcher Development Statement endorsed by the Research Councils

The Researcher Development Statement (RDS) sets out the knowledge, behaviours and attributes of effective and highly skilled researchers appropriate for a wide range of careers. Strathclyde’s Researcher Development Programme (RDP) is mapped to the RDS to ensure researchers select appropriate training and professional development opportunities, and can identify and contextualise the learning outcomes. The Researcher Development Statement, which replaces the Joint Skills Statement, is endorsed by the Research Councils and may be downloaded from the following link: <http://www.vitae.ac.uk/rds>



####  Annex 2

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| **Degree Type**  | **Research Doctorate Characteristics**  |
|  | **Standard Route By Publication**  |
| **Eligibility**   | For internal/external candidates and staff\*  | University staff\* and external applicants  |
| **Prerequisites**   | 1st or 2:1 UK undergraduate degree or equivalent, or integrated masters degree. Competence in English required.  | 1st or 2:1 UK undergraduate degree or equivalent, or integrated masters degree. Competence in English required.  |
| **Format/**  **components**   | Degree award primarily by Thesis/Independent research and viva. Must also take 15 - 60 credits of training dependant on programme (1+3, +3, or 4 year models).  | Degree award following assessment of candidate's selected publications and Thesis/Critical Appraisal of research methodology and contribution to knowledge, and oral/viva.  |
| **Duration: Full time**   | Minimum (if Masters degree held in relevant subject) = 24 months; otherwise for PhD = 36 months, PhD in a CDT = 48 months EngD = 48 Months Max: PhD = 48 months, EngD & DBA = 60 months  | n/a  |
| **Duration: Part time**   | Minimum and Maximum = equivalent of progress expected for full-time, *pro-rata.*  For staff member, PhD = 96 months (for p/t study)  | Min. = 12 months Max = 48 months  |
| **Structure**   | PhD candidates to include researcher development skills training (minimum 60 credits) as detailed in the University’s Researcher Development Programme. This version of the guidelines applies to students commencing study after the revision date of this document. EngD candidates to include taught classes or research training (min 15, max 210 credits). In addition, a programme of research approved by the relevant Board of Study, leading to full thesis, which must make an identifiable contribution to creation or interpretation of new knowledge through research or other advanced scholarship. Some Recognition for Prior Learning for researcher development skills training is possible as per the regulations. For University staff, the Thesis may comprise (in part) work previously published by the candidate. Any work thus presented may not have been presented in part or in whole in fulfilment of the requirements for any other degree award, and may not be used in a similar way again in future).  | The process follows three basic stages: * Application stage: providing 1,000 - 1,500 word rationale - Prima-facie stage: selection of portfolio of published works and brief written critique (c. 5,000 words)
* Substantial Thesis/Critical Appraisal (no more

40,000 words) The Thesis submitted by a staff member may consist wholly (or substantially) of work previously published by the candidate, provided the Thesis is so composed as to present a connected record of research in a field of study, and that it has not been presented in full or partial fulfilment of the requirements for any other degree award (and will not be used in this way again in the future).  |
| **Participants**  | Doctoral Candidates  | Doctoral Candidates  |

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| --- | --- | --- |
| **Assessment Type**   | Required to complete coursework satisfactorily. Examined by Thesis (max. 100,000 words) review, any relevant coursework, and oral/viva examination. Independent research expected to be original and contribute to knowledge.  | Required to complete prerequisites before progression to Thesis/Critical Appraisal. Examined by Thesis/Critical Appraisal (no more than 40,000 words), and oral/viva examination. Independent research expected to be original and contribute to knowledge.  |
| **Contribution of Thesis/ Independent**   | Thesis and oral (viva) comprise the whole of assessable output for the final award (for PhD) and the majority for EngD (i.e. >51%).  | Thesis/Critical Appraisal comprises the whole of assessable output for the final award.  |
| **Supervision**   | At least 2 named supervisors specifically appointed for the candidate, at least one (1st supervisor) being a full-time member of academic staff (EngD to include an industrial supervisor).  | Supervisor appointed, essentially as a mentor. In addition, direct involvement of Vice-Dean Research and Departmental Research Director (or equivalent).  |
| **Internal Examiner(s)**   | At least 1 named internal examiner  | At least 1 named internal examiner  |
| **External Examiner(s)**   | For PhD - at least 1 named external examiner specifically appointed for the candidate (2 if the candidate is a member of University staff). For EngD - 2 external examiners, the 2nd being from a different academic discipline than the academic supervisor  | At least one external for Prima-facie stage. If successful at prima-facie stage, an Examination Committee to be established as per University standard requirements for PhD (by Research), which includes at least 2 named externals.  |
| **Researcher** **Development Skills** **Training**   | Minimum 60 credits as detailed in the University’s Researcher Development Programme, or as stipulated in course regulations. Regulations from the previous version of this policy are applicable to students who registered prior to 2013/14.  | n/a  |
| **Credit rating**   | n/a  | n/a  |
| **Level of award**   | pass/MPhil/fail  | pass/fail  |
| **Titles of Awards**   | Common Accepted Titles: PhD, EngD  | Common Accepted Titles: PhD, EngD  |

Note: \* - Any member of staff accepted onto a degree programme on the basis of a fee waiver, will be subject to meeting the full cost of study from any point forward when they cease to be employed by the University.

####  Annex 2

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|  **Degree Type**   | **Master by Research** **Characteristics**  |
| **Eligibility**   | For internal/external students and staff\*  |
| **Prerequisites**   | Minimum 2nd class Honours UK undergrad. degree or equivalent, or integrated Masters degree. Competence in English required.  |
| **Format/components**   | Programme of research, together with instructional classes or research training at 10 credits - 60 credits rating, and a Dissertation worth a minimum of 120 credits.  |
| **Duration: Full time**   | Minimum 12 months, Maximum 24 months.  |
| **Duration: Part time**   | Minimum = none stated Maximum = 48 months.  |
| **Structure**   | Courses should be modular and credit rated. Dissertation (or Design, Report, or Project) as required, to be based on original research by the student, and be worth at least 120 credits.  |
| **Participants known as**   | Students  |
| **Assessment Type**   | Coursework to be completed and assessed by exam, and/or written assignments, and/ or oral exam. Dissertation (normally maximum 30,000 words) to be examined by review. Dissertation counts > 120 credits. A Dissertation submitted by a Strathclyde staff member may consist in whole or in part of work previously published by them, provided the Dissertation is composed so as to present a connected record of research in a field of study. Partial exemption from coursework may be available by Credit Transfer or RPL not normally exceeding 50% of the credits unless a special articulation agreement exists where up to 67% may be possible for Credit Transfer.  |
| **Supervision**   | At least 2 named supervisors specifically appointed for the student, one being a full time member of academic staff.  |
| **Internal Examiner(s)**   | At least 1 named internal examiner. If, exceptionally, the student's supervisor is appointed, a 2nd internal to be appointed.  |
| **External Examiner(s)**   | At least 1 named external examiner specifically appointed for the student, with relevant expertise in the subject area.  |
| **Generic Skills Training**   | n/a (as a requirement)  |
| **Research Skills Training**   | n/a (but will be present in courses)  |
| **Credit rating**   | 180 credits (min 150 at level 5, with over 120 credits for Thesis/Dissertation)  |
| **Level of award**   | pass/fail  |
| **Titles of Awards**   | Common Titles: MPhil, MRes, LLM (by Res)  |

Note: \* - Any member of staff accepted onto a degree programme on the basis of a fee waiver, will be subject to meeting the full cost of study from any point forward when they cease to be employed by the University.

####  Annex 3

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| **Degree Type**  | **Professional Doctorate** **Characteristics**  |
|   | Standard Route By Publication  |
| **Eligibility**   | For internal/external candidates and staff\*  | University staff\* and external applicants  |
| **Prerequisites**   | 1st or 2:1 UK undergraduate degree or equivalent, or integrated masters degree. Competence in English required.  | 1st or 2:1 UK undergraduate degree or equivalent, or integrated masters degree. Competence in English required.  |
| **Format/components**  | Degree award primarily by Dissertation/Independent research and viva. Must also take 60 credits of research methods and techniques training, and 60 credits of specialist knowledge, in addition to generic skills training.  | Degree award primarily by Thesis/Independent research and viva. Must also take 60 credits of research methods and techniques training, and 60 credits of specialist knowledge, in addition to generic skills training.  |
| **Duration: Full time**   | Minimum 36 months Maximum 60 months  | n/a  |
| **Duration: Part time**   | Minimum and Maximum = equivalent of progress expected for full-time, *pro-rata.*  For staff member, PhD = 96 months (p/t study)  | Min. = 12 months Max. = 48 months  |
| **Structure**   | Directed study on (i) research methods, and (ii) areas of specialist knowledge, both at minimum 60 credits each. Plus, a scheme of research leading to a Thesis, which must make an identifiable contribution to creation or interpretation of new knowledge through research or other advanced scholarship. Some Recognition for Prior Learning for classes or research training is possible, but not usually exceeding 50% of the credits appropriate to the course or 60 credits where this is less. For University staff, the Thesis may comprise (in part) work previously published by the candidate. Any work thus presented may not have been presented in part or in whole in fulfilment of the requirements for any other degree award, and may not be used in a similar way again in future.  | Directed study on (i) research methods, and (ii) areas of specialist knowledge, both at minimum 60 credits each. Plus, a scheme of research leading to a Thesis, which must make an identifiable contribution to creation or interpretation of new knowledge through research or other advanced scholarship. Some Recognition for Prior Learning for classes or research training is possible, but not usually exceeding 50% of the credits appropriate to the course or 60 credits where this is less. The Thesis submitted by a staff member may consist wholly (or substantially) of work previously published by the candidate, provided the Thesis is so composed as to present a connected record of research in a field of study, and that it has not been presented in full or partial fulfilment of the requirements for any other degree award (and will not be used in this way again in the future).  |
| **Participants known** **as**   | Doctoral Candidates  | Doctoral Candidates  |
| **Assessment Type**   | Required to complete coursework & professional practice (potential exists for Credit Transfer and/or Recognition of Prior Learning (maximum 50% or 60 credits). Examined by Thesis maximum 60,000 words) and oral/viva. Independent research expected to be original and contribute to knowledge.  | Required to complete coursework & professional practice (potential exists for Credit Transfer and/or Recognition of Prior Learning (maximum 50% or 60 credits). Examined by Thesis maximum 60,000 words) or Critical Appraisal (max. 40,000 words), and oral/viva. Research to be original and contribute to knowledge.  |
| **Contribution of** **Thesis/ Independent** **Research**   | Thesis/Independent research comprises the majority of assessable output (i.e. > 51%).  | Thesis/Critical Appraisal comprises the majority of assessable output (i.e. > 51%).  |
| **Supervision**   | At least 2 named supervisors specifically appointed for the candidate, at least one being a full-time member of academic staff. A workbased professional may also be appointed as a mentor.  | At least 2 named supervisors specifically appointed for the candidate, at least one being a full-time member of academic staff. A workbased professional may also be appointed as a mentor.  |
| **Internal Examiner(s)**   | At least 1 named internal examiner.  | At least 1 named internal examiner.  |
| **External Examiner(s)**   | At least 1 named external examiner specifically appointed for the candidate, with relevant expertise in the subject area (2 if the candidate is a member of University staff).  | At least 2 named external examiners specifically appointed for the candidate, with relevant expertise in the subject area.  |
| **Generic Skills Training**   | Generic skills training (to be done additionally).  | Generic skills training (to be done additionally).  |
| **Research Skills Training**   | Research Methods and Techniques - 60 credits. Specialist Knowledge - 60 credits  | Research Methods and Techniques - 60 credits. Specialist Knowledge - 60 credits  |
| **Credit rating**   | Minimum 60 credits for each taught component  | Minimum 60 credits for each taught component  |
| **Level of award**   | pass/MPhil/fail  | pass/MPhil/fail  |
| **Titles of Awards**   | Common Accepted Titles: EdD, DBA DEdPsy  | Common Accepted Titles: EdD, DBA DEdPsy  |

Note: \* - Any member of staff accepted onto a degree programme on the basis of a fee waiver, will be subject to meeting the full cost of study from any point forward when they cease to be employed by the University.

####  Annex 4

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|  **Degree Type**   | **Master by Research** **Characteristics**  |
| **Eligibility**   | For internal/external students and staff\*  |
| **Prerequisites**   | Minimum 2nd class Honours UK undergrad. degree or equivalent, or integrated Masters degree. Competence in English required.  |
| **Format/components**   | Programme of research, together with instructional classes or research training at 10 credits - 60 credits rating, and a Dissertation worth a minimum of 120 credits.  |
| **Duration: Full time**   | Minimum 12 months, Maximum 24 months.  |
| **Duration: Part time**   | Minimum = none stated Maximum = 48 months.  |
| **Structure**   | Courses should be modular and credit rated. Dissertation (or Design, Report, or Project) as required, to be based on original research by the student, and be worth at least 120 credits.  |
| **Participants known as**   | Students  |
| **Assessment Type**   | Coursework to be completed and assessed by exam, and/or written assignments, and/ or oral exam. Dissertation (normally maximum 30,000 words) to be examined by review. Dissertation counts > 120 credits. A Dissertation submitted by a Strathclyde staff member may consist in whole or in part of work previously published by them, provided the Dissertation is composed so as to present a connected record of research in a field of study. Partial exemption from coursework may be available by Credit Transfer or RPL not normally exceeding 50% of the credits unless a special articulation agreement exists where up to 67% may be possible for Credit Transfer.  |
| **Supervision**   | At least 2 named supervisors specifically appointed for the student, one being a full time member of academic staff.  |
| **Internal Examiner(s)**   | At least 1 named internal examiner. If, exceptionally, the student's supervisor is appointed, a 2nd internal to be appointed.  |
| **External Examiner(s)**   | At least 1 named external examiner specifically appointed for the student, with relevant expertise in the subject area.  |
| **Generic Skills Training**   | n/a (as a requirement)  |
| **Research Skills Training**   | n/a (but will be present in courses)  |
| **Credit rating**   | 180 credits (min 150 at level 5, with over 120 credits for Thesis/Dissertation)  |
| **Level of award**   | pass/fail  |
| **Titles of Awards**   | Common Titles: MPhil, MRes, LLM (by Res)  |

Note: \* - Any member of staff accepted onto a degree programme on the basis of a fee waiver, will be subject to meeting the full cost of study from any point forward when they cease to be employed by the University.

**Annex 5**

**External Examiners Expenses Guidelines**

#### Undertaking duties

UK based External examiners must complete the **Undertaking Duties Claim Form** for the examination of Research Students.

Non UK based examiners should complete the **Non-staff Fee Claim form**.

Fees

* Fees are payable upon receipt of the completed Examiner’s report form.
* The fee is deemed to include any re-examination (Research Degrees).
* Income tax at Basic Rate will be deducted from fees in accordance with Inland Revenue instructions.

The following fees are payable:

Research degrees

* PhD/DBA/EdD £120 per thesis
* Master degree by thesis £90 per thesis

Please ensure that you have supplied your Passport to the host department as the Examination fee will only be processed if evidence is recorded.

#### Travel and Other Expenses

Travel

The University is pleased to meet reasonable expenses incurred. Hotel accommodation should be arranged with the host department.

External examiners may claim rail or air fares. Where no public transport is available or heavy/special equipment has to be carried, a car allowance may be paid at the rate of £0.45 per mile.

If subsistence and/or accommodation costs are claimed then only reasonable, costs will be paid.

**All** external examiners must complete the **Claim for Expenses by Non University Staff form**. Claimants MUST attach original receipts to support expenses claimed.

[www.strath.ac.uk/media/ps/humanresources/policies/preventingillegalworkingintheuk/Undertaken\_Duties\_Claim\_Form.pdf](http://www.strath.ac.uk/media/ps/humanresources/policies/preventingillegalworkingintheuk/Undertaken_Duties_Claim_Form.pdf) [www.strath.ac.uk/media/ps/humanresources/policies/preventingillegalworkingintheuk/Non\_Staff\_Fee\_Claim\_Form.pdf](http://www.strath.ac.uk/media/ps/humanresources/policies/preventingillegalworkingintheuk/Non_Staff_Fee_Claim_Form.pdf) [www.strath.ac.uk/media/ps/finance/forms/Non-Staff\_Expense\_Claim\_Form.docx](http://www.strath.ac.uk/media/ps/finance/forms/Non-Staff_Expense_Claim_Form.docx)

 [www.strath.ac.uk/hr/right2work](http://www.strath.ac.uk/hr/right2work)

**Extract of Regulations for Higher Degrees**

 **20.1** **General Regulations for the Degrees of Doctor of Philosophy and Doctor of Engineering**

#### Admission

 20.1.1 Applicants must:

1. possess a Master’s or an Integrated Master’s degree; or
2. possess a first or upper second class Honours degree from a United Kingdom University; or
3. possess other qualifications deemed, by the Head of Department (or nominees) acting on behalf of the Senate, to be equivalent to (i) or (ii) above; or
4. be deemed, by the Head of Department (or nominees) acting on behalf of the Senate, to have achieved an academic standard equivalent to (i) or (ii) above;

20.1.2 In all cases, applicants, whose first language is not English, shall be required to demonstrate an appropriate level of competence in the English language.

20.1.3 Applicants who satisfy the provisions of Regulation 20.1.1 may, in addition, be required to have had a period of relevant experience.

 20.1.4 In all cases, applicants must submit a satisfactory research area or topic.

#### Minimum Periods of Study

20.1.5 The minimum period of study for each doctoral candidate shall be confirmed by the relevant Vice Dean (or nominee) acting on behalf of the Senate. Only exceptionally will the following minimum periods of full-time study be reduced.

*For full-time study*

Doctorate where the doctoral candidate already holds a

 Masters degree in a subject cognate to their field of study 24 months

 Doctor of Philosophy 36 months

 Doctor of Engineering 48 months

*For part-time study*

The minimum period of study should be the learning equivalent of the full-time study period required taking account of the conditions under which the doctoral candidate will work. The actual study time will normally be greater than for full-time study.

A doctoral candidate’s thesis shall be submitted not earlier than two months before the candidate is due to complete the prescribed minimum period of study.

#### Maximum Periods of Study

20.1.6 Except with the permission of the Senate, a candidate’s thesis must be submitted within a prescribed period from the date of the doctoral candidate's registration as follows:

*For full-time study*

 Doctor of Philosophy 48 months

 Doctor of Engineering 60 months

*For part-time study*

The expected period of study must be reviewed annually by the Supervisors and confirmed annually at Registration.

#### Place of Study

20.1.7 Except where the Senate has approved distance learning arrangements for off campus delivery, study shall normally be undertaken within the University or within an institution or agency approved by the Senate for the purpose (see

Regulation 20.6 and University Policy and Code of Practice for collaborative (off-campus and overseas) courses leading to awards or joint awards of the University and flexible and distributed learning (including e-learning)).

For the degree of Doctor of Engineering study will normally be undertaken within the University of Strathclyde and other institutions.

Candidates will also undertake a placement in an industrial establishment.

#### Nature of Study

20.1.8 All doctoral candidates shall be required to undertake a programme of research in a field of study approved by the relevant Head of Department on behalf of the Senate.

20.1.9 The programme for the degree of Doctor of Philosophy shall include taught classes or research training with a minimum credit rating of 15 credits (and normally not more than 60 credits) as stipulated by the Head of Department and/or nominees and a thesis.

20.1.10 The programme for the degree of Doctor of Engineering shall include taught classes or research training with a minimum credit rating of 15 credits (and normally not more than 210 credits) as stipulated in the course regulations, and a portfolio of project related material.

In Regulation 20.1, where thesis is referred to, it is to be interpreted for Doctor of Engineering candidates as the portfolio.

20.1.11 The requirement in Regulation 20.1.9 or 20.1.10 to attend taught classes or research training may be waived under Recognition of Prior Learning (RPL) by the Head of Department (or nominees) where the doctoral candidate holds a Master’s degree in a subject cognate to their field of study.

20.1.12 The thesis shall embody the results of the doctoral candidate’s original research and must make, in the opinion of the examiners, an identifiable contribution to knowledge. The thesis shall be composed by the candidate, shall not have been previously submitted for examination leading to the award of a degree and shall be accompanied by a declaration to these effects signed by the candidate.

#### Supervision of Research Doctoral candidates

20.1.13 Each doctoral candidate who is undertaking studies entailing a scheme of research shall be supervised by at least two supervisors, at least one of whom shall be a member of academic or research staff on Teaching and Research Grade 8 (or above) who has been appointed under Ordinance 4.2 The Head of Department has responsibility for appointing appropriate supervisor(s). Where appropriate, the Head of Department may also appoint a work-based professional to act in the capacity of a mentor.

In the case of Doctor of Engineering candidates, the second supervisor shall be an industrial supervisor normally with experience of professional and career development in addition to having technical or managerial knowledge of the doctoral candidate's research area.

20.1.14 Where the Senate has approved an arrangement with another institution or agency for joint supervision of a doctoral candidate leading to an award or joint award of the University, the Head of Department (or nominee) shall provide the relevant Board of Study with written details of:

1. the doctoral candidate’s registration (i.e. whether University of Strathclyde regulations will apply or those of the collaborating institution) and primary place of study;
2. the name, duties and responsibilities of both the day-to-day and remote supervisors, including arrangements for induction and monitoring doctoral candidate progress and supervision; and
3. the arrangements for ensuring regular contact between supervisors and the doctoral candidate throughout the period of study.

When operating within the University of Strathclyde, the doctoral candidate shall be deemed to be a student of the University of Strathclyde and shall be bound by its regulations.

20.1.15 When a doctoral candidate’s approved scheme of research has been completed and a thesis submitted, the supervisor(s) shall sign a declaration that the candidate has complied with the regulations that relate to the award for which they are a candidate.

#### Attendance, Performance and Progression

20.1.16 Every applicant admitted to a doctoral research programme shall be required to attend regularly and to perform the required work, including attendance at taught classes or research training, to the satisfaction of the Department.

20.1.17 A doctoral candidate must achieve an approved standard of performance against defined criteria within twelve months of the start of study and at least annually thereafter. The assessment shall normally be carried out by a Research Panel appointed by the Head of Department.

20.1.18 Doctoral candidates have an obligation to inform the University Student Experience – Student Business at the very first reasonable opportunity of any medical or other circumstances which might adversely affect their attendance, performance and/or ability to study.

20.1.19 A doctoral candidate who, in the opinion of the Head(s) of the Department(s) (or nominees(s)) does not satisfy the requirements as to attendance and to performance and having been informed in writing, may be required to withdraw. The names of such doctoral candidates shall be reported immediately to the relevant Board of Study.

#### Submission of Theses

*[The following regulations for Submission of Theses should be read in conjunction with Regulation 20.5]*

20.1.20 When a thesis is submitted, it shall be accompanied by the declaration required by Regulations 20.1.12 and 20.1.15.

20.1.21 The thesis shall be written in English. Exceptionally, the relevant Board of Study may permit submission in a language other than English, in which case a translation of the abstract into English must accompany the thesis.

20.1.22 Candidates for the degree of Doctor of Engineering must include within their portfolio a bound stand-alone summary document which describes the contribution to knowledge and innovation.

20.1.23 Unless permission is granted exceptionally by the relevant Board of Study and in advance of submission of the thesis, the main text of a thesis excluding appendices and annotations, is limited to not more than 100,000 words.

#### Examinations

20.1.24 The doctoral candidate shall be examined by a thesis, any necessary coursework (as specified under Regulation 20.1.8 or 20.1.9) and by oral examination.

20.1.25 The examination of a doctoral candidate shall be undertaken by an Examining Committee nominated by the Head of Department, endorsed by the relevant Board of Study and appointed by the Senate. The Examining Committee shall include at least one External Examiner and one Internal Examiner. The Head of Department will identify a member of University staff, who is not one of the Internal Examiners or supervisors, to convene the Committee and must attend the oral examination. After consultation with the doctoral candidate and the Examiners, the Convener may invite one supervisor to attend the oral examination in a non-examining capacity. Only in exceptional circumstances shall the doctoral candidate's supervisor be appointed an Internal Examiner and in such cases a second Internal Examiner shall be appointed.

For the degree of Doctor of Engineering, the Examining Committee shall include a second External Examiner who shall be from a different academic discipline than the academic supervisor.

 20.1.26 The Examining Committee shall

1. assess the thesis submitted by the candidate;
2. act as the Board of Examiners for the award of the credits for the taught classes or research training undertaken under the provisions of Regulation 20.1.9 or 20.1.10; (iii) subject the candidate to the oral examination.

In all cases the examiners may subject the candidate to such additional examination, written or oral, as they deem necessary, and shall report to the appropriate Board of Study, which shall make recommendation to the Senate.

20.1.27 The Examining Committee may make the following recommendations to the relevant Board of Study and to the Senate:

1. the doctoral candidate be awarded the appropriate degree;
2. subject to minor corrections to the thesis being carried out satisfactorily, the degree be awarded;
3. re-submission of the thesis within a specified time limit when the Examining Committee will be reconvened to re-assess the thesis;
4. the doctoral candidate be transferred to an appropriate Master’s degree provided the doctoral candidate satisfies the appropriate progress and curricular requirements; (v) the award be withheld and the candidate be required to withdraw.

In the case of (ii) above, the candidate shall not normally be allowed to graduate until the amendments have been carried out to the satisfaction of the Internal Examiners.

#### Voluntary Suspension, Transfer of Registration or Withdrawal

20.1.28 On the recommendation of the Head of Department (or nominee), the relevant Vice Dean may permit a doctoral candidate to either undertake voluntary suspension for whole or part of a year or transfer between full-time and part-time study where available.

20.1.29 On the recommendation of the Head of the Department concerned, the relevant Board of Study, acting on behalf of the Senate, may approve transfer of a candidate’s registration from the degree of Doctor of Engineering to that for the degree of Doctor of Philosophy or vice-versa. The Board of Study will determine what recognition shall be given to the period which the doctoral candidate has completed.

20.1.30 A candidate for the degree of Doctorate may, after consultation with the Head of the Department concerned, be permitted to transfer registration to a relevant Master’s degree at any time before submission of the thesis or portfolio, subject to the doctoral candidate satisfying the appropriate progress and curricular requirements.

20.1.31 Where the Board of Study concerned receives a report from the relevant Head of Department that the progress made by a candidate for the degree of Doctor of Philosophy or Doctor of Engineering is unsatisfactory the relevant Board of Study, acting on behalf of the Senate, may decide that the doctoral candidate's registration be transferred to a relevant Master’s degree subject to the doctoral candidate satisfying the appropriate progress and curricular requirements.

20.1.32 Notwithstanding Regulation 20.1.6, Vice-Deans may approve an extension to the maximum period of study.

20.1.33 Notwithstanding the provisions of Regulations 20.1.16, 20.1.17, 20.1.27 and 20.1.30, where the Board of Study concerned receives a report from the relevant Head of Department that the progress made by a candidate for the degree of doctorate is unsatisfactory or where an Examining Committee reports that a candidate has failed to satisfy the Examining Committee, the Board of Study, acting on behalf of the Senate, may terminate the doctoral candidate’s registration and require the doctoral candidate to withdraw.

20.1.34 Notwithstanding the provisions of Regulation 20.1.33, a doctoral candidate who is reported to the relevant Board of Study under Regulation 20.1.16 or 20.1.17 for persistent non-attendance, in accordance with published Faculty procedures, may have their registration terminated and be required to withdraw.

 20.1.35 A doctoral candidate may be required to withdraw from a course as a consequence of academic

dishonesty or unprofessional conduct. Such a decision would be taken in consequence of a disciplinary hearing as provided for in Regulations 5.4 and 5.5.

#### Appeals against Transfer of Registration, and Withdrawal

20.1.36 Any doctoral candidate required to transfer registration under the provisions of Regulations 20.1.24 or to withdraw under the provisions of Regulations 20.1.33 or 20.1.34 may appeal to the relevant Board of Study for reconsideration of their case on any of the following grounds:

1. that there were procedural irregularities in the conduct of the examination or of the assessment (including alleged administrative error of such a nature as to cause reasonable doubt as to whether the examiners or the Board of Study would have reached the same conclusion if the alleged error had not been made); or
2. notwithstanding the doctoral candidate’s obligations under Regulation

20.1.18, that there were medical, personal or other circumstances affecting the doctoral candidate's performance of which the examiners

or the Board of Study were not aware when their decision was taken; or

1. that there was inadequate assessment, prejudice or bias on the part of one or more of the examiners or assessors.

Any such appeal must be supported by appropriate documentary evidence and must be lodged in writing with the appropriate Faculty Officer not later than a date specified by the Board of Study and contained in the letter informing the candidate of the requirement to transfer registration or withdraw.

20.1.37 A doctoral candidate has the ultimate right of appeal to the Senate. Any such appeal shall be set out in writing supported by all appropriate documentary evidence and shall be lodged with the Director of Corporate Services within a period of six weeks from the date of notification to the doctoral candidate of the outcome of the preceding appeal to the Board of Study. The doctoral candidate shall have a right of appearance, either alone or accompanied by one person, at the hearing of the appeal to the Senate.

#### Award

20.1.38 A doctoral candidate who satisfies the conditions of the Ordinances governing the award of degrees, diplomas and certificates and of the general regulations will, on payment of the required fees, be entitled to receive the appropriate award.

20.1.39 To qualify for the award of a Doctor of Philosophy, a candidate must have achieved no fewer than 15 credits from taught classes and/or research training and have satisfied the examiners with regard to the thesis.

20.1.40 To qualify for the award of a Doctor of Engineering, a candidate must have achieved the minimum number of credits specified in the course regulations and have satisfied the examiners with regard to the thesis.

20.1.41 The candidate will receive a parchment setting forth the Department in which the award has been granted.

#### Staff Candidature

20.1.42 The Senate may admit as candidates for the degree of Doctorate, members of the academic and related staff of the University appointed under the provisions of Ordinance 16.

Such candidates shall not be bound by the provisions governing minimum and maximum periods of study contained in Regulations 20.1.4 and 20.1.5 as long as they remain members of the academic and related staff of the University, normally subject to a maximum duration of 96 months.

Other members of the staff of the University or of an institution in special relationship with the University (see Regulation 20.6) may with the specific approval of the Senate be admitted as candidates for the degree of Doctor of Philosophy under the provisions of this Regulation.

20.1.43 A thesis submitted for the degree of doctorate by a member of the academic staff of the University appointed under the provisions of Ordinance 16 may consist substantially or in part of work previously published by the candidate, provided the thesis is so composed as to present a connected record of research in a field of study.