

Research Examiners' Handbook

Effective from 1 January 2014

Research Degree Examiners' Handbook

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Glossary of Terms

Throughout, the following abbreviations have been used:

HESA = Higher Education Statistical Agency

QAA = Quality Assurance Agency

RI= Research Institute

RC = Research Centre

FRC = Faculty Research Committee

DOS = Director of Studies

URC = University Research Committee

APR = Annual Progress Review

PGRT = Post-graduate Research Tutor

RASC = Research Awards Sub-committee (a sub-committee of URC)

STaR Office = Student Transnational and Research Office (part of Registry)

NOMEX = Nomination of Examiners’ Form

Introduction

The Research Examination Handbook is one in a series of 4 handbooks that serve to amplify the regulations. The handbook is set out to lead Examiners through the stages from appointment of Examination team to the signing off of the final thesis. Where appropriate, the Handbook is supplemented by subject-specific guidance provided by approved research degree units. The University's regulations for postgraduate research degree programmes are available to Examiners, students and staff as hard copy and on the University of Wolverhampton web-pages.

This Handbook is closely aligned to the Quality Assurance Agency (QAA) for Higher Education's second edition of the Code of practice for the assurance of academic quality and standards in higher education Section 1: Postgraduate research. The University of Wolverhampton's Research Handbook series came into effect in January 2014. It covers MPhil, PhD, PhD by Publication, as well as Professional / Practitioner doctorate programmes. All research degree Examiners, the students, and supervisors are expected to be conversant with the relevant Research Handbook and to apply its principles in full.

This handbook is printed for your convenience but may be updated periodically. To view the most up to date version please see the University's [Academic Regulations webpage](#).

Academic Standards and Enhancement of the Quality of Research Programmes

The University Research Committee (URC) is empowered by Academic Board to oversee the management of the University's research students. As part of this remit URC aims to ensure that all University of Wolverhampton research students are located in high quality environments with a community of active researchers providing robust research training. To achieve this all research students are managed by a Faculty Research Committee (FRC). This ensures provision of appropriate support and guidance to enable research students to complete their programmes on time, and provides an environment in which students, supervisors, examiners and other staff involved in research degree programmes are aware of and are committed to fulfil their responsibilities.

Each approved unit demonstrates:

- the pursuit of high quality research in cognate areas by a community of academic staff and postgraduates;
- supervisors with the necessary skills and knowledge to ensure the successful completion of students' research programmes;
- access to the facilities and equipment necessary to enable students to complete their research programmes successfully.

Monitoring the Success of Postgraduate Research Programmes

The University Research Committee evaluates performance in each of its Faculty Research Committees and reviews ongoing student performance as part of the annual monitoring process, including:

- submission and completion times and rates;
- pass, referral and fail rates;
- withdrawal rates;
- appeals and complaints, the reasons for them, and how many are upheld;
- comments from examiners;
- recruitment profiles;

- feedback from research students, and where possible from employers, sponsors and external funders;
- where it is available, data on employment and career destinations of former students.

FRCs and the URC each compile annual reports in which statistical and other information relating to postgraduate research programmes is considered and acted upon. The URC annual report is considered by Academic Board. There is student representation on URC and all FRCs.

The Research Environment

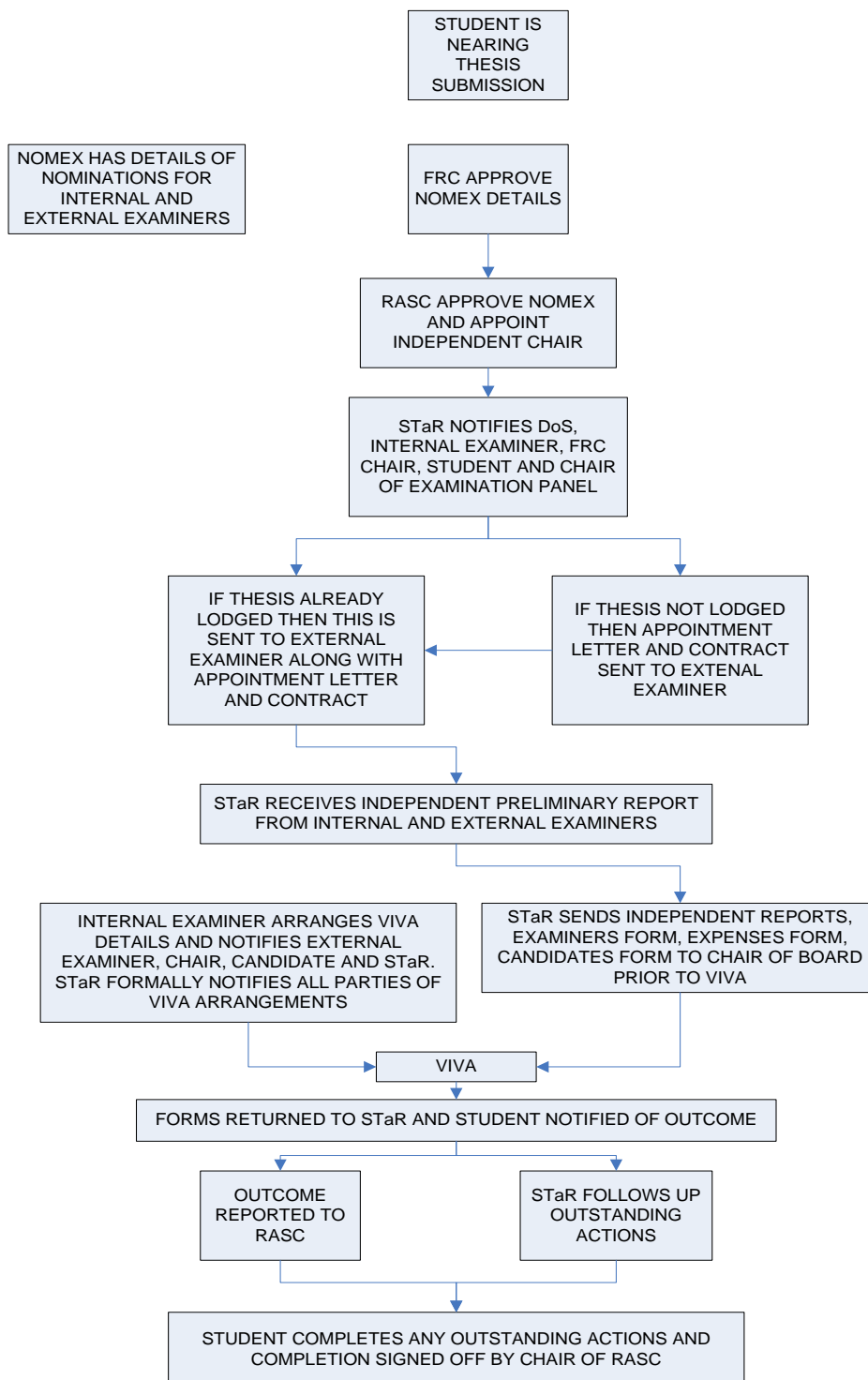
Each research unit provides students with a stimulating environment that includes:

- opportunities and encouragement to exchange and develop ideas with people at appropriate levels who are also engaged in research and/or pursuing established research programmes;
- ready access to academic colleagues and others able to give advice and support;
- adequate learning and research tools, including access to IT equipment, library and electronic publications;
- opportunities for students to develop peer support networks where issues or problems can be discussed informally;
- supervision that encourages the development and successful pursuance of a programme of research;
- guidance on ethical pursuit of research and the avoidance of research misconduct, including IPR breaches
- support to develop research-related skills that contribute to the student's ability to complete the programme successfully, including an understanding of research funding and the commercial exploitation of research
- opportunities to develop personal and employment-related skills to complement the advice on career development available through the University's Careers and Guidance Service
- access to welfare and support facilities that recognise the particular nature of research degree study;
- the opportunity for effective student representation, and for addressing students' feedback including complaints;
- sufficient monitoring to ensure that where a project is undertaken in collaboration with another organisation, the standards of both organisations are maintained;
- the opportunity for students to develop intellectual maturity and encouragement to reflect on their own learning about research and on research outcomes

Section 1: Research Degree Assessment Procedures

The University Research Committee (URC) ensures that all examinations are conducted and recommendations of the examiners are presented wholly in accordance with the University's regulations. In any instance where the University Research Committee is made aware of a failure to comply with all the procedures of the examination process, it may declare the examination null and void and appoint new examiners.

The University's Research Award Sub Committee (RASC) monitors the Research Degree examination process, approves the nominated examiners and confers the research degree award following due consideration of the Examiners' reports. This process is outlined in the diagram below.



Examination panel

The University Regulations require the candidate be assessed by at least two Examiners. One should be an external examiner and the other internal examiner will be a member of academic staff. Where the candidate is a member of the permanent staff of the University, he/she shall be examined by a minimum of three examiners, of whom at least two must be external to the University. A member of staff is one who holds a substantive appointment as a lecturer, demonstrator or technician with the University or who is regularly engaged as a Visiting Lecturer for more than 50% of his or her time.

The University Regulations stipulate that an Independent Chair will be appointed by the Research Awards Sub-committee to conduct MPhil/PhD or Professional Doctorate examinations. The role and responsibilities of the Independent Chair can be found under Appendix C of this Handbook.

Only the candidate, the approved examining team and the Chair of the examination will be expected to be in attendance at the viva voce. Candidates who wish their Director of Studies (or other member of their supervisory team) to attend the examination must make this request in writing to the Postgraduate Research Examinations Administrator, STaR Office prior to the examination. Approval for such requests will be granted after liaison with the approved examining team. If permission is given for a member of the supervisory team to attend the examination, s/he may only be present at the same time as the candidate.

The expectation is that a viva voce examination will take place at a University of Wolverhampton Campus with all appointed examiners present in the room with the candidate. However the Research Awards Sub-Committee may give consideration to conducting viva voce examinations remotely (using technology) in the following exceptional circumstances:

- 1) When a member of the examination team has restrictions on travel for instance due to ill health, disability, and weather conditions or other emergency circumstances.
- 2) The option of a remote viva should not be made available to a student who does not wish to return to the University for the viva voce examination. However, in circumstances where there may be difficulties such as immigration, health or financial issues, an exceptional request to hold the viva voce remotely may be considered.

A remote viva should only be considered in exceptional circumstances and should not be viewed as a routine alternative to a face to face viva, or as a justification for nominating examiners from outside the UK. Full details can be found in the URC Policy on remote Viva Voce Examinations (Appendix H).

Appointment of Examiners

At least three to four months before the expected date of submission the nominations for examiners should be forwarded to the University Research Awards Sub-committee. Selection criteria for the appointment of examiners can be found under Appendix A of this Handbook. The role and responsibilities of the Internal Examiner can be found under Appendix B of this Handbook.

Upon approval of the examination arrangements the External Examiner is sent a letter of appointment. At this point the candidate must have no involvement with the examiners and no contact made until the viva voce examination; otherwise the arrangements may be considered invalid

Section 2: Criteria for the Assessment of Research Degrees

The University has articulated clear learning outcomes for the awards of MPhil, PhD, Professional and Practitioner Doctorates, PhD by Published Work (See below). In each case the criteria for success (i.e. the 'assessment criteria') are the achievement of the learning outcomes for the relevant award. In setting the criteria for research programmes, the University drew upon the qualification descriptors for doctoral and master's degrees in the QAA *Frameworks for Higher Education Qualifications* and the definitions arising from the Bologna Process. The PhD by Published Work is assessed using the same criteria. (The eligibility, procedure and assessment of Higher Doctorates can be found in Appendix E). The criteria used to assess research degrees are available to students, staff and examiners in the Research Degree Handbooks for Students, Examiners and Supervisors. They are also on the University's web pages.

The nature of the candidate's research studies will depend to some extent on the academic discipline concerned. However, regardless of subject, all research degree theses should be examined on the basis of the following learning outcomes:

Learning Outcomes for the Award of MPhil

- Critical investigation and evaluation of a topic through individual research and analysis, which is at, or informed by findings at, the forefront of knowledge in the discipline and which is expressed in a work of publishable quality;
- Evidence of thorough and current knowledge of the specific field to which the topic of the thesis belongs, as well as an understanding of the intellectual context in which that topic is located;
- Demonstration of a comprehensive understanding of appropriate research methodologies;
- Demonstration of originality in the application of knowledge;
- Demonstration of ability to analyse critically one's own findings and those of others;
- Demonstration of ability to formulate a hypothesis or research question(s);
- Demonstration of ability to design, plan and implement a research programme to test, explore and evaluate the hypothesis or question(s).

Learning Outcomes for the Award of PhD, PhD by Publication, and Professional Doctorate

- *For PhD and PhD by Publication* - Substantial critical investigation and evaluation of a topic or set of related topics resulting in an independent and original contribution to knowledge and understanding in the field to which the topic belongs, and which is expressed in a work of publishable quality;
- *For Professional / Practitioner Doctorates* - Substantial critical investigation and evaluation of a topic or set of related topics resulting in an independent and original contribution to practice and understanding in the field to which the topic belongs, and which is expressed in a work of publishable quality;
- Originality is demonstrated through the discovery of new facts or methodologies, through subjecting known facts or methodologies to new insights derived from investigation, and/or through the revision, confirmation or adaptation of existing theories or methodologies to the new circumstances described in the thesis;

- Evidence of systematic, thorough, current and detailed knowledge of the specific subject area of the research as well as the general context in which that subject area is located;
- Evidence of knowledge of an appropriate range of research methodologies and a critical evaluation of their merits;
- Evidence of an ability to develop new hypotheses or research questions that have the capacity to extend the frontier of knowledge of the discipline;
- Evidence of an ability to design, plan and implement a research programme to test, explore and evaluate these hypotheses or questions;
- Evidence of an ability to analyse critically one’s own findings and those of others.

Length and format of thesis

Word count

The text of the thesis should normally not exceed the following maximum length which includes endnotes, footnotes and bibliography (except where specified otherwise below) but excludes essential ancillary data.

Subject Area	MPhil	PhD
Science, Engineering and Technology	25,000 words	45,000 words
Arts, Social Sciences, Education and Business	45,000 words	90,000 words
Creative and Performing Arts (where the thesis is accompanied by a portfolio of original, creative work, the following range applies)	20,000 -25,000 words	35,000 - 45,000 words
Professional Doctorate in Biomedical Science (DBMS) Professional Doctorate in Counselling Psychology (PsychD)	-	25,000
Professional Doctorate in Education (EdD) Professional Doctorate in Health and Wellbeing (DHW)	-	40,000*

**The word limit applies to the body of the thesis but excludes the reference list / bibliography, notes and appendices.*

(Essential ancillary data should not normally exceed 20% of the length of the thesis. Where such data exceeds 20% of the length of the thesis, the consent of the examiners will be sought.)

The thesis may contain work previously published by the candidate, and reference to such publication should be made in the thesis. Where publications are jointly authored by the candidate and others, the candidate’s contribution to the publication must be specified.

Published work, supporting narrative, and evidence submitted for the awards of PhD by Publication and Higher Doctorates may vary in number and length according to the subject (see Appendix D section d and Appendix E respectively).

The format of the research thesis may vary according to the subject and type of research degree. See Appendix F for outline of the format and layout for PhD thesis.

Section 3: Examining the Thesis

When the thesis is submitted it is requested that the examiners undertake initial examination of the thesis within a few weeks of receipt and that independent preliminary reports are submitted to the Research Degree Examinations Administrator. In completing the preliminary report, each examiner shall consider whether the thesis provisionally satisfies the learning outcomes of the degree (as set out above in section 2) and where possible make an appropriate provisional recommendation subject to the outcome of the oral examination (viva voce)

The Oral Examination (Viva Voce)

Viva voce arrangements

It is the responsibility of the Internal Examiner to liaise with the examining team, which comprises of the examiners and Chair of the viva voce, and candidate to arrange a date and time for the viva to take place (see role of Internal Examiner and Independent Chair in Appendices B and C respectively) . The viva examination should be arranged within 2-3 months of submission of the thesis to examiners. If the External Examiner anticipates a significant delay we request they contact us. If the Examiners are unable to agree if an oral examination should take place, the recommendation of the External Examiner or majority is accepted. The formal paperwork is sent out to the candidate and examining team from Registry's STaR Office. Preliminary reports should be submitted to the STaR Office at least 1 week prior to the viva date. A week prior to the viva the paperwork, including the preliminary reports, is sent out to the Independent Chair who presides over the viva voce.

The day of the viva voce

On the day of the viva voce examination, the examining team have a pre-viva meeting where they exchange their preliminary reports. They will discuss the questions they will ask the candidate and agree on how the viva should proceed (see also role of Independent Chair Appendix C).

Following the viva voce examination the examiners will make their recommendation on a Joint Report form. This report, together with the preliminary reports on the thesis, should provide sufficiently detailed comments on the scope and quality of work to enable the Research Awards Sub-committee to satisfy itself that the recommendation chosen is correct. All examiners' recommendations are subject to ratification by the Research Awards Sub-Committee and, as appropriate, the Professional Doctorate Progression and Award Board.

Examiners' Recommendations

Following the examination, the Examiners may make one of a number of recommendations, which are transmitted to the RASC for approval.

Examined for the Award of PhD

Pass	No corrections required
Pass, subject to minor corrections (in accordance with Regulation 5.7 - Not relevant to Higher Doctorate degrees)	Corrections to be submitted within 12 weeks
Re-submit and or be re-examined orally for the degree originally submitted (in accordance with Regulation 5.8 - Not relevant to Higher Doctorate degrees. Not relevant for PhD by Publication as there is no provision for resubmission. However, the candidate may apply to re-register for this award, but only after a minimum of three years from the date of the original examination has elapsed)	Resubmit within 12 calendar months of the date of the viva
Re-submit and/or be re-examined orally for the degree of MPhil (in accordance with Regulation 5.9 - Not relevant to Higher Doctorate degrees, PhD By Published work or Professional Doctorates)	Resubmit within 6 calendar months of the date of the viva
Fail	No further opportunity for submission

Examined for the Award of MPhil

Pass	No corrections required
Pass, subject to minor corrections (in accordance with Regulation 5.7)	Corrections to be submitted within 12 weeks
Re-submit and or be re-examined orally for the degree originally submitted (in accordance with Regulation 5.8)	Resubmit within 12 calendar months of the date of the viva
Fail	No further opportunity for submission

With the exception of a) Pass and e) Fail recommendations, a list of revisions/amendments should be communicated to the candidate. These should be sufficiently detailed to allow the candidate to understand clearly what they are required to do. The internal examiner (see Appendix B: Role of the Internal Examiner) ensures that the amendments are sent in written form, within 10 working days of the viva, to the Postgraduate Research Examinations Administrator (STaR Office) who will send them to the candidate. On re-examination, examiners will *only* consider the issues that were previously referred.

Minor corrections:

Examiners may recommend a Pass subject to minor correction of editorial or other stated deficiencies. Minor corrections are defined as those that can reasonably be completed within 12 weeks of the viva voce. Typically, minor amendments entail improvements to the satisfaction of the examiners on:

- a) the presentation of the thesis (spelling, punctuation, syntax)
- b) correction of minor errors of fact or interpretation
- c) minor re-writing to make the context, focus or originality of the thesis clearer to the reader (this may include suggested revision of the thesis title by the Examiners)
- d) integration of graphic/statistical material into relevant parts of the text bibliography and references
- e) minor re-organisation of material within or between sections/chapters for easier comprehension by the reader (including more effective cross-referencing)
- f) clarification of particular points or of terminology employed.

Students must resubmit the corrected work to the STaR Office within 12 weeks of the viva voce. At least one of the examiners (often the internal examiner) will review the corrected thesis in line with the original list of recommended corrections/amendments. Following review of the corrected thesis, examiners can recommend a Pass or Fail. Examiners are asked to communicate their final recommendation to the Postgraduate Research Examinations Administrator on the Declaration Form within 4 weeks of receipt of the revised thesis.

If the minor amendments are not submitted within 12 weeks, and in the absence of approved and recorded Leave of Absence, the University reserves the right not to confer the award.

Resubmission:

If the thesis is not considered to be of sufficiently high standard to recommend the award submitted, but there is evidence of the potential of a successful submission, then the examiners may recommend that the student re-submit the thesis. The examiners have the discretion to request a further oral examination following re-submission of the thesis.

Resubmission amendments require major work. They typically involve any of the following:

- a) a major re-think of the methodology employed in the project, or
- b) a major recasting of whole sections/chapters of the thesis (or original composition)
- c) re-running of experiments, fieldwork or other methods of data collection
- d) conducting new experiments or additional fieldwork.

The timescale for resubmission (originally submitted for PhD) is one calendar year from date of viva voce.

All of the examiners will re-examine the revised thesis in line with the original list of recommended corrections/amendments. They will be asked to make one of the following recommendations:

Pass	No corrections required
Pass, subject to minor corrections	Corrections to be submitted within 4 weeks
Fail	No further opportunity for submission

Examiners are asked to communicate their recommendation to the Postgraduate Research Examinations Administrator on the Declaration Form within 12 weeks of the resubmitted thesis.

Minor corrections following resubmission must be submitted within 4 weeks from the receipt of the list of corrections. Following the submission of minor corrections, the examiners are asked to make their final recommendation of either Pass or Fail to the Research Degree Administrator on the Declaration Form within 4 weeks of receipt of the revised thesis. If the minor amendments are not submitted within the timescale, and in the absence of approved and recorded Leave of Absence, the University reserves the right not to confer the award.

Resubmission of PhD for MPhil

If the thesis is not considered to be of sufficiently high standard to recommend the award of PhD and the examiners do not believe there is evidence of potential to reach the appropriate standard within 12 months, they may recommend that the candidate re-submit the thesis for an interim award (i.e. MPhil). This requires the re-working of the original PhD thesis to meet the word length and learning outcomes for the award of MPhil.

Such re-submission will take place within 6 calendar months of the date of the oral examination. The examiners have the discretion to request a further oral examination following re-submission of the thesis. All of the Examiners will re-examine the revised thesis in line with the learning outcomes for MPhil and will be asked to recommend Pass, Pass subject to minor corrections or Fail on the Resubmission Form.

Minor corrections following resubmission must be submitted within 4 weeks from the receipt of the list of corrections. If minor amendments are required, the examiners will be asked to make their final recommendation of either Pass or Fail to the Postgraduate Research Examinations Administrator on the Declaration Form within 4 weeks of receipt of the reworked thesis. If the reworked thesis is not submitted within the timescale, and in the absence of approved and recorded Leave of Absence, the University reserves the right not to confer the award.

Failure to agree a recommendation

Where examiners are unable to reach an agreed recommendation, the Dean of Research may take the following course of action:

- a) accept a majority recommendation;
- b) accept the recommendation of the External Examiner; or
- c) require the appointment of an additional examiner.

In the case of c) above, the additional examiner shall prepare an independent report on the thesis and may request an additional oral examination. The only outcomes available to the additional examiner are either Pass or Fail. S/he shall neither seek nor be informed of the individual recommendations of the other examiners.

Section 4: Academic Misconduct

If at any stage of the process the examiners find evidence of cheating, plagiarism or other irregularity in the preparation of the thesis or in the candidate's conduct at the oral examination, they must report the matter to the Postgraduate Research Examinations Administrator in the STaR Office. The matter will then be referred to the University's Conduct and Appeals Unit for investigation and where appropriate instigate the penalties for academic misconduct according to the procedures outlined in Appendix G.

Appendices

Appendix A: Selection Criteria for Examiners

Independence

The internal examiner must have no involvement with the programme of research that is the subject of the thesis nor with the candidate in respect of his/her research degree programme.

Except with the permission of the University Research Committee, an external examiner must be independent of both the University and any collaborating establishment. S/he must not have acted previously as the candidate's supervisor or adviser nor had any substantial direct involvement in the work of the candidate, in terms of its development, implementation or assessment, nor shall their work be the focus of the research project. The examiners must have no links with the supervisory team in terms of joint publications, grants held or other collaboration. Former members of staff of the University shall normally not be approved as external examiners until three years after the termination of their employment with the University. The University Research Committee will ensure that the same external examiner is not approved so frequently that his/her familiarity with a research group might be considered to prejudice objective judgement.

Subject knowledge

Examiners shall be experienced in research in the general area of the candidate's thesis and, where practicable, have experience as a specialist in the topic(s) to be examined. External examiners are expected to be able to demonstrate recent and relevant research activity in the field being examined. Except where there is a strong practitioner / industrial focus to the research, external examiners will normally hold, or have recently held, a substantive academic appointment in a UK or overseas University. If the topic of research spans a number of different disciplines, the Faculty may wish to nominate more than two examiners to ensure joint expertise of the examiners covers all aspects of work.

Experience of examining

External examiners shall normally have experience of examining research degree candidates at the level of the degree sought. In exceptional circumstances an external examiner who is recognised as an expert in their subject discipline, but who has little or no formal examining experience, may be appointed as long as the combined proposed examining team has experience of 3 or more previous examinations.

Appendix B: Role of the Internal Examiner

The primary responsibility of the Internal Examiner is to read and examine the candidate's thesis. However, s/he is also responsible for a number of tasks prior to and following the examination, in order to ensure that the examination process is carried out in optimum circumstances and that the student is able to perform to the best of her / his ability.

Before the examination, the Internal Examiner:

- a) Liaises with the other members of the examining team, the Independent Chair* and the Candidate to establish a mutually convenient date, time and venue (i.e. room) for the examination to take place (and delegates to an appropriate administrator within the Faculty the task of room booking and hospitality, including refreshment for the candidate during the viva).
- b) Notifies the Postgraduate Research Examinations Administrator of the above details as soon as they are confirmed;
- c) Informs the candidate's Director of Studies of the arrangements once they have been confirmed.

*Note: the nominated Independent Chair must be involved in the discussions to establish a suitable date for the viva voce examination. Non-availability of a Chair due to failure to consult on suitable dates may mean that the examination cannot proceed as planned and will need to be rescheduled.

Following the examination, the Internal Examiner:

- d) Ensures, in conjunction with the External Examiner and the Independent Chair, that the Joint Recommendation form is appropriately completed and returned to the Postgraduate Research Examinations Administrator (STaR Office).
- e) Ensures, where appropriate, and in agreement with the External Examiner and the Independent Chair, that the amendments required and the time-scale in which they are to be completed, together with any other relevant information, are clearly communicated to the candidate at the end of the viva.
- f) Ensures that the amendments are sent in written form, within 10 working days of the viva, to the Postgraduate Research Examinations Administrator (STaR Office) who will send them to the candidate.
- g) Ensures (in liaison with the External Examiner) that the necessary amendments, where required, are subsequently carried out under the specified conditions, and that the Declaration Document is appropriately completed and returned to the Postgraduate Research Examinations Administrator.

Appendix C: Role of the Independent Chair

The primary role of the Chair is to conduct the examination in order to ensure (i) fairness to the candidate and (ii) full observance of University procedures and regulations. The Chair is responsible for ensuring the recommendations of the examiners are communicated to the candidate and the Postgraduate Research Examinations Administrator.

The Chair should not (i) read the thesis; (ii) make any contributions to the academic examination of the thesis; (iii) make any contributions to the academic evaluation of the thesis by the Examiners. The Chair is not expected to have any academic expertise in the area being examined, nor to bring to the examining process any such expertise they may coincidentally possess.

During the examination the chair should (i) intervene in the examining process if they judge the fairness to the candidate at risk; (ii) take brief notes on procedural matters and on the overall conduct of the examination (including areas/questions which the candidate has difficulty with, and the ways in which the examiners dealt with such difficulties); (iii) ensure that the examiners' recommendations and resubmission deadlines are communicated to the candidate at the end of the viva voce. The Chair's notes along with the Joint Recommendation form should be returned to the STaR Office within seven days of the viva. In the event of a request for review of an examination decision, the Chair of the examination may be approached by the review panel for further information.

Prior to the examination:

- a) The Postgraduate Research Examinations Administrator will contact the proposed Chair of an examination following the approval of the examination arrangements. Individuals from the approved list of Chairs (which includes members of; the Research Awards Sub-committee, the University Research Committee and the University Professoriate) are approached on a rota basis.
- b) The Internal Examiner will be responsible for liaising with the Independent Chair and with members of the examining team in order to establish a mutually convenient date, time and venue (i.e. site) for the examination and for communicating this information to the Postgraduate Research Examinations Administrator well in advance of the examination.
- c) The Postgraduate Research Examinations Administrator will be responsible for (i) sending copies of the thesis, the regulations, and the Preliminary reports to members of the examining team and (ii) communicating information on the date, time and venue of the examination to all members of the examining team, the student and the Independent Chair.
- d) Immediately prior to the examination, the Postgraduate Research Examinations Administrator will provide the Independent Chair with all relevant forms/ information, including:
 - Joint Recommendation of the Examiners form
 - Candidate's Final Declaration Form
 - Current copy of the regulations
 - Copies of the preliminary reports from each Examiner
 - Home address form to be completed by student
 - Supplementary travelling expenses form(s) for the External Examiner(s)
 - Questionnaire on the procedural aspects of the exam for completion by the Chair

The Chair will also be notified if approval has been given for any member(s) of the candidate's supervisory team to attend the examination.

- e) At the pre-viva meeting, ensure that any procedural questions that the examiners may have are discussed and resolved prior to the start of the examination; this may include a discussion on how exactly the thesis will be examined (e.g. turn-taking by the examiners, chapter-by-chapter analysis, etc);

At the outset of the examination the Chair should:

- f) explain to the candidate the status and role of the Independent Chair during the examination, and the reason for taking notes;
- g) ensure that the candidate is introduced to each member of the examining team before questioning begins;
- h) endeavour to establish an atmosphere in which the candidate will be able to perform to the best of her/his ability;
- i) make it clear that any member(s) of the supervisory team attending the examination do so as observers only, and that they may not take part in either the examination nor in the evaluation of the thesis after the examination;
- j) ensure that the candidate is advised that no information on the outcome of the examination will be given before the end of the viva voce and that s/he should not infer any decision from the questions and discussion.

During the examination the Chair should:

- k) intervene in the examining process if s/he judges that fairness to the candidate at risk;
- l) take brief notes on procedural matters only, on the overall conduct of the examination (including areas/questions which the candidate had difficulty with, and the ways in which the examiners dealt with such difficulties); these notes should be returned to the Postgraduate Research Examinations Administrator, with the Recommendation of the Examiners, within seven days of the Viva;
- m) offer the candidate and members of the examining team the opportunity for a brief 'comfort break', where appropriate.

After the examination the Chair

- n) will request that any member(s) of the supervisory team leave the room during the examiners' discussion (although they may accompany the candidate for any final feedback session the examiners wish to give);
- o) will ensure that the examiners' recommendations comply with the University regulations . For example the Chair will ensure in the case of minor amendments that it is clear which of the examiners will review the corrected thesis (often the internal examiner).
- p) will ensure that any other documentation supplied by the Postgraduate Research Examinations Administrator (e.g. home address form, declaration form, extra travelling expenses forms) be handed, as appropriate, to the relevant person (candidate/External Examiner(s)); and that the Joint Recommendation of the Examiners Form is completed and sent to the Postgraduate Research Examinations Administrator, as soon as possible;
- q) will ensure that any recommended revisions or amendments are clearly stated, and that these are communicated to the candidate. Where these are of a specialist academic nature, it may be more appropriate for a member of the examining team to communicate directly with the candidate, in which case the Chair should ensure that responsibility for so doing is clearly designated.
- r) may communicate informally the recommendations of the examiners to the candidate, in accordance with the University regulations, ("examiners may indicate informally their recommendations on the result of the examination to the candidate but they shall make it clear that the decision rests with the University Research Awards Sub-Committee").

Appendix D: PhD by Published Work

This section of the Examiners' Handbook clarifies clauses relating to PhD by Published Work in the Regulations.

The PhD by published work should not be seen as an alternative means of pursuing a postgraduate research qualification, but rather as a means of conferring retrospective recognition upon a significant body of research publications. At present only members of staff of the University may register for PhD by Published Work (this is standard practice throughout the UK HE sector).

Published work submitted for consideration of this award must be of high quality and accessible to the public through refereed media; a substantial proportion of the published output will normally have appeared within 5 years of the date of its submission for examination. Above all, the work submitted must be based upon critical investigation and evaluation, demonstrate a thorough understanding of research methods and constitute an independent, original and coherent contribution to knowledge within the discipline.

a) Eligible members of staff

Eligible members of staff are defined for this purpose as academic staff of the University of Wolverhampton appointed to a full-time contract or occupying a substantive part-time post equivalent to at least 0.5 of a full-time contract. Staff undertaking a PhD by Published Work must be in such employment at the time of approval of the Research proposal and at the time of submission of the PhD. They will have been in post for at least one year prior to submission of the Research Proposal.

b) Learning outcomes and peer review

The learning outcomes expressly refer to peer-review and sole or lead authorship (see also (c) and (d), below). The learning outcomes must all be demonstrated in the written commentary and/or peer reviewed original research-based publications. Note that publications that have not been peer reviewed cannot be submitted for a PhD by Published Work. The publications submitted for examination will constitute a corpus of work that contributes a coherent body of knowledge rather than a series of disconnected research outputs.

c) Commentary and body of work

The written submission for a PhD by Published Work is comprised of the published works and a commentary. A guide to the word count can be found in the table below.

Subject Area	Published works	Commentary	Total word count for written submissions
Science, Engineering and Technology	Up to 35,000 words	At least 10,000 words	45,000 words
Humanities (Arts, Social Sciences, Education and Business)	Up to 70,000 words	At least 20,000 words	90,000 words

The regulations state that 80% of the published works must have appeared within six years of the date of submission for examination. The 80% is calculated as the proportion of separately published outputs rather than as a proportion of total word count. Given the expected duration of the period of study prior to examination, it is expected that at least 80% of the published works will have appeared within 5 years prior to the approval of the Research Proposal. Where appropriate, a maximum of 20% of outputs may have appeared within 10 years prior to its approval.

The definition of a published work can include individual chapters in a multi-authored book, provided that such works have been peer reviewed. Where more than one chapter in a single book is included in the body of published work, there is a strong expectation that, taken together, these will comprise less than half of the research outputs under consideration. The commentary will be presented in English. The published works will also be in English unless a specific exemption is sought from the University Research Committee at the time of submission of the Research Proposal. Permission to include publications in a language other than English will normally only be granted **provided** that the thesis advisor has reading knowledge of the language of the publications **and** that the inclusion of such publications would not prejudice or limit the selection of appropriate examiners or Independent Chair.

What should be included in the Commentary?

The written commentary provides a context for the published work, a statement (or re-statement) of the argument / research questions (including theoretical and methodological underpinnings) that the publications together put forward. This should explain how the findings from the collection of publications address the research question. The commentary should also state (or restate) the original contribution(s) to knowledge that the publications together advance

d) Co-authored works

Where jointly authored works are to be included, a statement from the co-authors clearly identifying the candidate's intellectual ownership and contribution to each publication should be sought. In addition the written commentary must clarify the candidate's contribution and identify the basis for his/her claim to the intellectual content of any jointly authored works. Candidates should expect their individual contribution to multi-authored works to be a focus of the oral examination.

e) 'Supervision' of candidate for the award of PhD by Published Works

Guidance on the submission of work for this award is carried out by an 'Academic Advisor' rather than a Supervisor. The Academic Advisor should not only have appropriate academic standing in the discipline and substantial supervision, but also, ideally, examining experience at the level of PhD.

f) Examiners' recommendations

Following the oral examination, the examiners will be asked to make one of the following recommendations:

- (i) Pass.
- (ii) Pass, subject to the correction of minor editorial or other stated deficiencies in the commentary, to be made within twelve weeks. The degree will not be awarded until confirmation that the corrections have been completed is received. Where the candidate does not submit the corrected commentary within twelve weeks, and in the absence of recorded extenuating circumstances, the University reserves the right not to confer the award.
- (iii) Fail.

g) Failure of PhD by Published Work

Where the examiners' recommendation is fail, the candidate may re-enrol for a PhD by Published Work. The new enrolment period shall not begin earlier than three years from the date of the oral examination leading to the 'fail' recommendation, and the normal period of study shall be 12 months from the date of approval of the Research Proposal. The candidate shall submit a new body of publications and commentary. A new team of examiners will be appointed.

Appendix E: Higher Doctorates

The University of Wolverhampton awards higher doctorates for a substantial portfolio of work of distinction which makes original contributions to the advancement of knowledge and its application.

Applications for the following Higher Doctorates include:

- Doctor of Science (DSc)
- Doctor of Letters (DLitt)
- Doctor of Laws (LL.D.)
- Doctor of Social Science (DSocSc)

a) Eligibility

Candidates should normally either:

- (i) be holders, of at least seven years standing, of a first degree awarded by a UK University (or equivalent body), or of a qualification of equivalent standard; or
- (ii) be holders, of at least four years standing, of a higher degree awarded by a UK University (or equivalent body), or of a qualification of equivalent standard.

b) The Nature of Submissions

Work submitted must be of high distinction; it should constitute an original and significant contribution to the advancement of knowledge and/or its application and should support the case that the applicant is an authority in his/her field of study. That the latter is the case will be demonstrated by evidence of a sustained and coherent contribution to scholarship over a number of years. Such evidence will largely be provided by published work submitted but may be complemented by supporting evidence of sustained contributions to higher education, especially at the postgraduate level in such activities as successful research degree supervision and examination of research degree candidates.

c) Permissible Publications

Books: Those focused on the specialism(s) and research area(s) of the applicant; those which have become standard undergraduate and postgraduate texts; those bodies of work edited by and/or contributed to by applicants.

Papers: While contributions to the full range of published material in a candidate's field may be submitted, the greatest weight is likely to be given to publications of substance appearing in learned journals (including electronic journals) and which are subjected to academic peer refereeing; conference papers which ultimately appear in appropriate scholarly media are acceptable.

Other Contributions: Patent specifications, reports, design studies and other relevant evidence of original work may be submitted as part of an applicant's portfolio. Work yet to be published, provided that there is firm evidence of its having been accepted for publication (such as the copy of a proof or some other pre-printed stage) may be considered as part of a candidate's case, although a preponderance of work in press may convey the impression of insufficient research maturity.

d) Procedure

An applicant should submit three copies of the work upon which the application is based: all material other than books must be secured in chronological order in one or more hard-backed folders, each containing a title and contents page. The contents of a submission must be in English unless specific permission to the contrary has been given by the University.

In addition to the copies of the work on which the application is based, applicants must submit one copy of the completed application form. This must be considered by the appropriate Faculty Research Committee (FRC) before forwarding to the University Research Committee (URC). A list of potential advisors/examiners

may be included as part of the application although it is at the discretion of any Higher Doctorate panel whether any persons on that list are approached at any stage.

Submission of an application must also be accompanied by the appropriate fee. Upon receipt of an application for a Higher Doctorate and accompanying documentation, the Chair of URC will convene a panel to examine the evidence and assess whether a prima facie case for proceedings to a formal examination has been established. The panel will consist of the Chair of URC (or delegate, in case of a conflict of interest), a member of the University's Offices of the Vice Chancellor, at least two other members of the University whose expertise is relevant and at least one specialist in the field from outside the University. The panel may take whatever advice it considers to be appropriate, including the use of external advisors. If satisfied that a case has been established, the panel will select two external examiners at least one of whom must hold a Higher Doctorate or equivalent qualification. URC must approve any examination arrangements before any further action can be taken. When approval has been given, the full application along with copies of all papers will be sent to the examiners for scrutiny. Each examiner must then make an independent report to the University. In the case of disagreement between the examiners, the University may appoint a third examiner. Examiners' reports will be put before the URC who will decide whether a recommendation to confer the award will be made to Academic Board. The applicant will be advised of the decision of the URC at this stage.

The University shall retain on controlled access one set of the publications (suitably bound) submitted in support of an application which is successful. The other two sets shall be returned to the applicant. In the case of applications which are unsuccessful, the Dean of Research shall inform candidates of the weaknesses which are deemed to exist in the case made for the higher doctorate and advise them whether it is in their best interests to resubmit at some future date. By the nature of higher doctoral submissions, a candidate would normally be advised not to re-submit before two years had elapsed from the previous application.

e) Fees

The STaR Office will provide for intending candidates information regarding the payment of fees.

Appendix F Format of PhD Thesis

The following requirements shall be adhered to in the format of the thesis submitted for examination:

The text of the thesis should normally not exceed the following maximum length for the subject or type of research degree see table below. This word limit includes endnotes, footnotes and bibliography (except where specified otherwise below) but excludes essential ancillary data. (*Essential ancillary data should not normally exceed 20% of the length of the thesis. Where such data exceeds 20% of the length of the thesis, the consent of the examiners will be sought.*)

Subject Area	MPhil	PhD
Science, Engineering and Technology	25,000 words	45,000 words
Arts, Social Sciences, Education and Business	45,000 words	90,000 words
Creative and Performing Arts (where the thesis is accompanied by a portfolio of original, creative work, the following range applies)	20,000 -25,000 words	35,000 - 45,000 words
Professional Doctorate in Biomedical Science (DBMS) Professional Doctorate in Counselling Psychology (PsychD)	-	25,000
Professional Doctorate in Education (EdD) Professional Doctorate in Health and Wellbeing (DHW)	-	40,000*

**The word limit applies to the body of the thesis but excludes the reference list/bibliography, notes & appendices.*

Theses shall normally be in A4 format. In exceptional cases the University Research Committee may give permission for a thesis to be submitted in another format where it is satisfied that the contents of the thesis can be better expressed in that format;

Copies of the thesis shall be presented in a permanent and legible printed form. Any copies produced by photocopying must also be permanent and legible. The size of character used in the main text, including displayed matter and notes, shall be font size 12. You may use font style Arial, Tahoma or Verdana.

The thesis may be printed on one or both sides of the paper which shall normally be white, of good quality and sufficiently opaque to avoid show-through;

The margin at the binding edge of the page shall not be less than 40mm; other margins shall not be less than 15mm;

Spacing of typescript should be consistent with clarity; in the main body of the text, this should normally be double-spaced.

Pages shall be numbered consecutively through the main text including photographs and/or diagrams included as whole pages;

The title page shall give the following information (see specimen later):

- the full title of the thesis;
- the full name and qualifications of the author;
- that the degree is awarded by the University;
- the award for which the degree is submitted in partial fulfilment of its requirements;
- the Collaborating Establishment(s), if any;
- the month and year of submission; and
- statement of copyright.

Theses must be submitted for examination in a secure temporarily bound form.

[Specimen title page]

THE ORIGINS AND DEVELOPMENT OF THE FARMING
CO-OPERATIVES IN WESSEX

JOHN SMITH BSc

A thesis submitted in partial fulfilment of the
requirements of the University of Wolverhampton
for the degree of Doctor of Philosophy

This research programme was carried out
in collaboration with the Christminster Agricultural College

July 2009

This work or any part thereof has not previously been presented in any form to the University or to any other body whether for the purposes of assessment, publication or for any other purpose (unless otherwise indicated). Save for any express acknowledgments, references and/or bibliographies cited in the work, I confirm that the intellectual content of the work is the result of my own efforts and of no other person.

The right of John Smith to be identified as author of this work is asserted in accordance with ss.77 and 78 of the Copyright, Designs and Patents Act 1988. At this date copyright is owned by the author.

Signature.....

Date.....

Appendix G Procedure for the Investigation of Academic Misconduct by Research Students

The University's procedure for research students is closely modelled on that used for undergraduates and students on taught postgraduate programmes.

1. Definitions

A research student is defined as a student of the University who is enrolled on a research degree programme leading to the degrees of Master of Philosophy (MPhil), Doctor of Philosophy (PhD) or a Masters degree by research. Students studying for a professional doctorate who are in the thesis phase of their study programme are also defined as research students for the purposes of this procedure.

2. Cheating

Cheating is defined as any attempt by a candidate to gain unfair advantage in an assessment by dishonest means, and includes e.g. all breaches of examination rules, falsifying data

3. Plagiarism

Plagiarism is defined as incorporating a significant amount of unattributed direct quotation from, or unattributed substantial paraphrasing of, the work of another.

4. Collusion

Collusion occurs when two or more students (and/or researchers) collaborate to produce a piece of work to be submitted (in whole or part) for assessment and the work is presented as the work of one student alone, without due acknowledgement of the contribution of others.

In the context of all three definitions: where research students are working in closely related fields to one another, or are supported by technical staff, it is important that each student takes care not to claim deliberately or inadvertently that a given piece of work carried out by someone else is their own work. Due acknowledgement must always be made to the contributions of others, whether in work submitted for assessment, presented at a conference or placed in the public domain through publication or any other medium.

Where a case of academic misconduct as defined above is suspected in a piece of work* contributing to a research award of the University, the matter must be referred to the relevant Director/Head of the Research Institute/Centre or Dean of Faculty (or nominee), who will determine whether a *prima facie* case exists to investigate the matter further. The Director/Head/Dean or nominee may seek advice from the Conduct and Appeals Unit in considering the matter. If the Director/Head/Dean or nominee then decides that the matter should be investigated further he or she must inform the Head of the Conduct and Appeals Unit.

** For the purpose of this procedure a "piece of work contributing to a research award of the University" is any written work or oral presentation submitted to the supervisors for assessment or submitted to a Faculty Research Committee in support of the progression stage of a Research Degree Programme or as part of annual monitoring.*

If a *prima facie* case for further investigation is established. A letter inviting the student to a meeting will be sent by the Research Institute/Centre (RI/RC).

The meeting will have in attendance:-

- The Director/Head of the RI or RC, or Dean of Faculty, or nominee
- The Head of the Conduct and Appeals Unit
- Director of Studies or other member of the supervisory team
- Student (and friend)
- Note taker (provided by the Conduct and Appeals Unit)

If, as a result of this meeting, academic misconduct is admitted by the student or the evidence clearly shows that academic misconduct has occurred, the relevant Faculty Research Committee will be informed and will be requested to apply the appropriate penalty (see paragraph 7 below). The student will be informed in writing within five working days of the meeting.

5. Investigation by Panel

5.1 If there is no conclusive result after this stage of investigation, and there are still grounds to suspect academic misconduct the matter will be referred back to the Conduct and Appeals Unit and a panel will be established to review the circumstances, comprising:

- Representative member of staff from another research Degree Unit
- Student representative nominated by the President of the Students' Union.
- Secretary to the panel (provided by the Conduct and Appeals Unit)

None of the members of the panel may come from a Faculty or Unit directly involved in the case.

5.2 The panel may as a result of its deliberations make recommendations and observations to the University Research Committee and to Academic Board concerning general principles relating to the operation of research degree programmes. The panel may carry out its investigation by whatever means it judges to be necessary and may require the attendance of members of staff or students to give evidence.

5.3 The Conduct and Appeals Unit will notify the student whose conduct is in question:

- that a panel has been established;
- the precise nature of any allegations against him/her;
- that he/she has the right to present evidence in person and to be accompanied by a "friend" who should normally be a fellow student or an officer of the Students Union. The student shall be responsible for notifying the Conduct and Appeals Unit of the identity of the friend and of any witnesses to be called not less than 48 hours prior to the interview meeting.
- that s/he has the right to see all the documents put to the panel for the purpose of establishing proof of the allegation(s);
- that s/he may submit a written statement to the panel prior to a personal appearance;
- that s/he may proceed with his/her programme of study while the matter remains unresolved, including any scheduled assessment; and that in these circumstances the payment of fees will be

deferred until the matter is resolved. If the student is required to withdraw, the fees for the period of registration during consideration of the case will be waived.

Unless s/he agreed to a shorter period, the student must be given written notice at least one week prior to a request for attendance at a meeting of the panel.

5.4 The Head of the Conduct and Appeals Unit must inform the student of the decision of the panel as soon as is reasonably practicable and must confirm the decision in writing, no later than five working days after the hearing.

5.6 If the panel upholds the allegation of academic misconduct a written report of the panel's findings agreed by the members together with the agreed penalty, must be submitted to the relevant Faculty Research Committee and to the University Research Committee (URC) sub-committee. The agreed penalty will normally be that listed in section 7 below. The URC sub-committee, which meets most months, will receive for ratification the report of the panel at the earliest opportunity following the hearing. In exceptional circumstances, to avoid undue delay, the matter may be dealt with by Chair's action or by correspondence if appropriate to do so.

6. Penalties

Academic Board has agreed that the penalty for academic misconduct by any postgraduate research student is a requirement to withdraw from the University.

Note: academic misconduct is defined as any case of deliberate, premeditated cheating, (including deliberate plagiarism or collusion) which has either been admitted by a student, or which a panel has judged to be a premeditated attempt to deceive and gain unfair advantage (see paragraph 1 above).

7. Right of Appeal

Students have the right of appeal against a penalty that includes a requirement to withdraw, restricts the final award or affects progression in any other way. In this case the student may resort to the Appeals procedure for Postgraduate Research Students. An Appeal Panel may only consider an appeal against a penalty for academic misconduct on the grounds specified in the Procedure for Academic Appeals. If the Panel upholds the appeal in the student's favour, it may decide either to impose an alternative penalty or to rule that no penalty should be imposed.

Appendix H Policy on remote Viva Voce Examinations

The expectation is that a viva voce examination will take place at a University of Wolverhampton Campus with all appointed examiners present in the room with the candidate.

However the Research Awards Sub-Committee may give consideration to conducting viva voce examinations remotely (using technology) in the following exceptional circumstances:

- 1) When a member of the examination team has restrictions on travel for instance due to ill health, disability, and weather conditions or other emergency circumstances.
- 2) The option of a remote viva should not be made available to a student who does not wish to return to the University for the viva voce examination. However, in circumstances where there may be difficulties such as immigration, health or financial issues, an exceptional request to hold the viva voce remotely may be considered.

This should only be considered in exceptional circumstances and should not be viewed as a routine alternative to a face to face viva, or as a justification for nominating examiners from outside the UK.

Approval for remote viva voce examination

- 1) Permission must be sought from the Research Awards Sub-Committee (RASC) at an early stage using the request form. Wherever possible, requests should be submitted alongside the NOMEX form (3-6 months before thesis submission) to allow time for alternative arrangements to be considered in the event that the request is not approved.
- 2) The Chair of RASC has the right to request further information or to refuse a request where a strong enough case has not been made.
- 3) Where unforeseen circumstances arise on the day of the viva, for example the External Examiner is unable to travel due to adverse weather conditions, please contact the STaR Office if you wish to discuss the potential for the viva to proceed remotely. This should again be in exceptional circumstances where there is a particular reason as to why the viva cannot be rescheduled for another date.

Guidelines for conducting remote viva voce examinations:

- 1) Viva voce examinations may only be conducted remotely with the written agreement of the research student and all members of the Examination Team (examiners and independent chair). This agreement should be sought and confirmed by the STaR Office prior to the proposal being considered by the Research Awards Sub-Committee.
- 2) The internal examiner is responsible for ensuring that all parties involved in the examination are informed of the details of the examination arrangements
- 3) The internal examiner should ensure familiarity with the relevant technology (software and hardware) prior to the examination and take responsibility for operating equipment at a basic level during the examination. This may involve adjustments to camera settings, volume etc.
- 4) Any time differences between the two locations must be taken into account to ensure that the student is not disadvantaged by an examination taking place at an inappropriate time. The Chair of RASC will have the final decision on appropriateness.

- 5) A 2-way video connection only will be considered. The person/people at each end of the link should be able to see the other person/people present at all times. The viva cannot be conducted by means of telephone conference except in cases of partial completion. (see pt. 11)
- 6) Consideration should be given to:
 - Identifying a room with suitable facilities (advice from rooming /Faculty Technicians)
 - Hardware, e.g. a large TV screen would be more appropriate than a laptop
 - Software that can be accessed and utilised by both users in both locations
 - The speed of network connections available at the 2 sites
 - Access to a working webcam and microphone
 - Audio is tested for both parties (additional speakers may be required)
 - Telephone in case of equipment failure (see point 11)
- 7) Advice may be sought from DAS via Ext. 2000 with regards to the proposed software e.g. Facetime, Skype etc. With sufficient notice, a call can be logged with DAS to check university equipment etc. to ensure that it's working properly on the day. More information regarding software available can be found on the 'Applications On Demand webpage' <https://www.wlv.ac.uk/its/self-help/software/applications-on-demand/>
- 8) A test call must be made to the remote location before the examination day to ensure that the facilities are working properly. In no circumstances can a remote viva take place if the test call is unsatisfactory.
- 9) A Viva conducted remotely should otherwise be comparable to a face-to-face viva; there should be no interruptions during the viva.
- 10) All parties must understand that in the event of any failure with the technology before or during the viva it will not be possible for the examination to continue and it may be necessary for the viva to be rescheduled. In the event that the technology fails on the day of the viva the STaR Office must be informed. Alternative arrangements to reschedule the viva must be made as soon as possible.
- 11) Under such circumstances, the Examiners will decide what proportion of the viva examination has been completed and what issues will be covered in any rescheduled viva.

Percentage of viva completed	Action to be taken following technology failure
<40% completed	Reschedule and restart
40-70% completed	Reschedule and resume
>70% completed	Complete by telephone

Care should be taken to ensure that failure of technology is not used as an excuse for a second attempt at the viva, especially when it is the student at a remote location.

- 12) If the internal and external examiners are at separate sites, they must take account of their need to consult privately with each other on the conduct of the examination: how the pre-oral discussion should be conducted; the form and sequence of questions; who should take the lead at various stages of the oral. There must be a room for the candidate to wait during these discussions.
- 13) As part of the remote viva, examiners should discuss and agree privately the content of the joint report so that their recommendations may be conveyed to the candidate. Their final signed report must then be submitted in the usual way. Examiners will be required to comment on the conduct of the viva voce examination and should refer explicitly to the use of the technology.
- 14) Examinations shall not be recorded.

- 15) Students, whose thesis has been examined remotely, are still eligible to submit an appeal against the decision of the Examiners in accordance with the Research Degree Appeals Procedures. Please note that once they have given written consent to undertake a remote viva, students are not able to submit any appeal simply on the grounds that their thesis was examined remotely. They will need to demonstrate that the conduct of the remote viva examination constitutes grounds for appeal as set out in the Appeals Procedure for Research Students (Appendix 7 of the Research Student Handbook).

In addition to the above, in cases where the candidate will be attending the viva voce remotely, the following guidance applies:

- 1) The viva should normally take place in a recognised Higher Education institution with appropriate facilities. If it is not possible to use facilities in a recognised Higher Education institution, the student must provide detailed evidence of the reliability of the facilities that are proposed for use. If there are any costs incurred these must be borne by the student.
- 2) The responsibility for identifying a suitable institution/facility lies with the student in consultation with their Director of Studies. Once identified the Director of Studies should make official contact with the proposed institution to request permission to use their facilities.
- 3) When booking a location consideration should be given to the fact that the average time of a viva is 2-4 hours.
- 4) Once permission has been sought by the Director of Studies from the institution, the following details should be forwarded to the STaR Office for the consideration of the Research Awards sub-committee:
 - a) Name of proposed institution
 - b) Written agreement from the proposed Institution to host the viva and provide an invigilator
 - c) Contact details (telephone number and email address) for the institutional contact and the invigilator
- 5) The Research Awards sub-Committee should approve the appointment of the invigilator provided by the Institution. The invigilator must be present at all times during the examination.
- 6) The student must ensure that the equipment is functioning prior to the exam.
- 7) When it is the student who is in the remote location, it is recommended that, during the period in which the examiners deliberate before calling the student back in, the facilities be set to 'mute' rather than switched off. This is to avoid any possible problems in re-establishing the link. It is also recommended that the screen be switched off so that the candidate cannot see the examiners while they are deliberating.

Request to conduct a remote viva voce examination

Requests will only be considered in exceptional circumstances (as outlined in the Policy on remote Viva Voce Examinations). This form must be completed and returned to the STaR Office along with the NOMEX Form at least 3 months prior to submission to allow time for alternative arrangements to be considered in the event that the request is not approved.

Research Student name:			
Faculty:		Student Number:	
Justification: <i>Please provide reasons below for a remote viva. Include details of the proposed locations, technology and invigilator etc. and other considerations as outlined in the guidance.</i>			
<i>(text box will expand)</i>			
Please specify the location of each party below:			
Research Student			
Internal Examiner			
External Examiner			
Independent Chair			
<p>Please see the guidelines overleaf.</p> <ul style="list-style-type: none"> • I have read and understand the Policy on remote Viva Voce Examinations • All parties have been consulted and are in agreement with these arrangements, including the candidate, Director of Studies, independent chair, Faculty Postgraduate Research Tutor (PGRT) and all appointed examiners. • Once approved written details of final arrangements must be sent to STaR Office. 			

Signatures (Please attach email confirmation from the external examiner/ s and the student in cases where they are the remote party)

Research Student:		Director of Studies:	
PGRT:		Internal Examiner	
External Examiner		Independent Chair	

Approved by Research Awards Sub-Committee:	
Signature	
Date	