

## GUIDANCE NOTES ON UNIVERSITY REGULATIONS FOR THE DEGREE OF DOCTOR OF PHILOSOPHY (PhD) BY RESEARCH

These notes provide guidance on the regulations for the Degree of Doctor of Philosophy by Research which are published in each College Section of the *University Calendar*. They focus particularly on the assessment process in order to inform staff and candidates of correct procedure.

Further guidance notes and forms are provided in the appendices, these cover:

- Intention to Submit
- Appointment of the Committee of Examiners
- Declaration of Originality
- Guidance for the Committee Convener
- Guidance for Examiners
- Examination Reports

Staff and candidates should also refer to the University's Code of Practice on Postgraduate Research Degrees which provides a statement of the University's expected standards for all its postgraduate research provision. Section 8 of this Code covers the submission and examination process.

1. **Mandatory training:** (minimum training required, record of attendance, reference to training at the oral). *Regulation 1(e)*

The College Graduate School is responsible for ensuring that research students receive clear instructions regarding the minimum formal training they are required to undertake during the period of research. A record of attendance should be maintained. Details of the research training provided by the College shall be sent to the examiners. Examiners may discuss the research training with the candidate at the oral.

2. **Appointment of Examiners:** (supervisor as Examiner, appointment of two External Examiners, qualifications of an External Examiner, appointment of Honorary staff, conflict of interests, candidate's involvement in appointments). *Regulation 3.4*

Direct supervision is defined as responsibility for the day-to-day management of the research project. Subject to the approval of the Dean of Graduate Studies, an individual who was appointed as a second supervisor or who was responsible for monitoring the progress of a research student in the role of mentor or adviser, may be appointed as an Internal Examiner if the individual is confident that his/her independence of judgement has not been compromised.

Two External Examiners may be recommended to the Dean of Graduate Studies where there is an absence of suitably qualified Internal Examiners or the impartiality of suitably qualified Internal Examiners is in doubt. This may occur in a small discipline area or where the candidate holds an appointment in the School/Research Institute which is regarded as one which might compromise the impartiality of an Internal Examiner. Staff employed on research contracts will not normally fall into this category.

An External Examiner need not hold an academic appointment. He/she however should normally hold the qualification for which the candidate is being examined or should have experience of examining at doctoral level in a Higher Education institution. It is important to ensure that at least one member of the Committee of Examiners has this level of experience. In some cases, it may be appropriate to appoint a second Internal Examiner. A member of the Honorary staff of the University may be appointed as an Internal Examiner but normally only as a second Internal Examiner.

Normally an External Examiner will be someone who has not held an academic appointment in the University of Glasgow for the previous five years. However, there may be occasions where the preferred nominee has held such an appointment more recently. In such cases the Dean of Graduate Studies and if necessary the Clerk of Senate should be consulted.

Care should be taken to ensure that where an individual has worked in collaboration either with the supervisor of the candidate or with the research group in which the candidate was working, the individual's nomination as an External Examiner of that candidate is appropriate. Where there is a perceived conflict of interest arising out of collaboration or of a personal relationship, this must be taken into consideration when nominating any member of the Committee of Examiners.

Where a problem has arisen with the examination, it may be appropriate for a third examiner to be appointed. In most cases this will be a second External Examiner. This examiner has the right to request a second oral examination.

It is not appropriate for a candidate to be consulted regarding the nomination of examiners, and the identity of examiners should not be revealed to the candidate until the thesis has been submitted. This policy is intended to ensure that the thesis is not biased by the particular views of the appointed examiners. Nevertheless, once the names of the External Examiners have been provided, the candidate has the right to raise any concerns or suspicions of conflict of interest. This must be done within two weeks of the release of the names. The membership of the Committee of Examiners will then be reviewed and, if deemed appropriate, amended.

**3. Role of the supervisor:** (absence from oral examination, request for presence, signing of submission form, appointment as Examiner). *Regulations 3.4 and 3.7*

The regulation states clearly that the supervisor is not expected to be present at the oral examination of the candidate. However, it is expected that the supervisor shall be available to answer any questions. The examiners may request that the candidate withdraws when the supervisor is being consulted.

It is advisable to invite the supervisor to join the Committee of Examiners when the examiners are discussing with the candidate the requirements for correction, revision or resubmission.

If the candidate makes a request in writing to the Convener for the supervisor to be present at the oral examination, this should normally be permitted. The request should be made no later than one week before the date of the oral.

In signing a submission form (see Appendix 2.2), the supervisor is confirming that the work was undertaken by the candidate. The wording of the form makes it clear that the supervisor's signature does not endorse that the work has been completed nor does it indicate that the thesis has achieved the required standard for the award of the degree. A candidate may submit a thesis against the advice of the supervisor but in such cases the supervisor is required to provide a short statement to the Convener of the Committee of Examiners.

Subject to the approval of the Dean of Graduate Studies, the second supervisor or other member of the supervisory team may be appointed as an Internal Examiner on condition that the involvement in the day to day supervision of the candidate has been minimal and the impartiality of the individual has not been compromised.

**4. Role of the Convener:** (appointment of Convener, responsibilities of Convener). *Regulation 3.6*

The Higher Degrees Committee or equivalent committee of the Graduate School is responsible for appointing a Convener with experience of examining higher degrees by research. In order to avoid unreasonable delay, the Convener of the Higher Degrees

Committee or equivalent committee is authorised to make this appointment on behalf of the Committee.

It is the responsibility of the Convener to make the arrangements for an oral examination and to ensure that this is normally held no later than three months after the submission of the thesis.

The Convener is responsible for ensuring that the oral is conducted in a fair manner, and in view of this it is expected that he/she will be present for the duration of the examination. It is appropriate for the Convener to ask the candidate questions of a general nature. However, the expectation is that the Convener will not participate in a detailed examination of the candidate.

The Convener is responsible for ensuring that the oral is of a reasonable duration. Where the oral is longer than two hours, it is recommended that the candidate be offered a short intermission.

The Convener is responsible for assisting the examiners to reach a consensus. The Convener will arrange for the Committee report stating the recommendation of the examiners to be signed at the conclusion of the examination. After the oral, the Convener will co-ordinate the completion of a joint report detailing the requirements for revision or resubmission which the Convener will provide to the candidate.

Where difficulties arise, the Convener shall decide whether an adjournment is required. Where agreement has not been reached between the examiners, the Convener should be aware that normally the view of the External Examiner shall prevail. Exceptionally, the Convener may refer to Senate if the External Examiner's view is in question and this may lead to a recommendation to the Higher Degrees Committee for the appointment of a third examiner who will normally be an External Examiner.

An individual report is not normally required from the Convener, except in certain circumstances as described in Appendix 2.6.

**5. Oral examination:** (right to an oral, difference between revision and resubmission, joint statement from examiners, appointment of Committee of Examiners for resubmission, right to a second or subsequent oral, withdrawal after submission).  
*Regulations 3.5 and 3.8*

The instructions to examiners should include the requirement to provide an oral even in circumstances where the outcome appears inevitable. The benefits of an oral to a successful candidate are considered to be self-evident. With regard to a candidate whose thesis is judged to be below the required standard, the formal position is that the oral provides the candidate with an opportunity to defend his/her work. In addition, it provides a candidate in this position with an opportunity to receive verbal guidance on the aspects of the thesis which the examiners found to require correction, revision or which the examiners found to be unacceptable.

It is important to ensure that where a revision or resubmission (see below) is the recommended outcome, in addition to information provided at the oral, the candidate is also provided with a joint written statement from the examiners specifying the aspects of the thesis which have been found to be below the required standard or which require additions or amendments.

**Revision** is the outcome when the examiners regard the thesis as acceptable subject to changes which may be substantial but which normally lead to the award of the degree.

**Resubmission** is the outcome when the thesis is unacceptable but in the opinion of the examiners is suitable for rewriting and may be resubmitted for a new examination. This will result in the appointment or reappointment of examiners, payment of a resubmission fee and an oral examination. A Resubmission does not necessarily lead to the award of the degree.

Normally in the case of a Resubmission, the same members of the Committee of Examiners are reappointed but in some circumstances this will not be appropriate. It may be that a member of the original Committee is no longer available or has expressed the wish to be excused from examining the Resubmission. It is the responsibility of the Convener of the Higher Degrees Committee or equivalent committee to ensure that academic standards are not compromised by the appointment of a new member or members of the Committee of Examiners. Where a new member or members are appointed, they shall be provided by the Graduate School office with the reports of the original Committee on the first submission.

The regulations provide a procedure for agreeing an exception to the rule regarding the right to a second or subsequent oral. It is anticipated that exceptions will principally relate to personal or practical difficulties facing the candidate. The University would not normally expect to award a PhD without a second oral examination in the case of a resubmission.

Where a thesis has been resubmitted, and where the first Committee of Examiners found the oral examination to be satisfactory, the examiners may recommend to the Dean of Graduate Studies that, exceptionally, the requirement for an oral after resubmission is waived but they are not bound to do so. Examiners should exercise caution in recommending that the oral be waived in circumstances where the resubmission is deemed to have failed as this action deprives the candidate of the right to defend the thesis. Moreover by recommending that the oral be waived, the examiners will require to indicate the likely outcome to the candidate and in the case of failure, this may lead to an appeal on the grounds that the decision was reached without the candidate having the opportunity to defend the thesis. It must be noted that whatever the reasons for seeking a waiver, the permission of the candidate must be obtained. It is recommended that the Dean of Graduate Studies consults the Clerk of Senate where there is any concern regarding the rights of the candidate.

In all cases it is of great importance that the candidate is provided with a joint report from the Committee of Examiners detailing the requirements. One examiner may prepare this report but both examiners must approve it before it is provided to the candidate. The report should include a requirement for the candidate to identify clearly all amendments on the resubmitted/revised thesis.

When a thesis has been submitted for formal examination, it may not subsequently be withdrawn either on the recommendation of the examiners or at the request of the candidate. The full process of examination including the oral examination should be completed.

#### **6. Resubmission:** (optional awards, consideration of the resubmission). *Regulation 3.9*

If the outcome of the first assessment is a resubmission (see note 5 above), there are two distinct options available:

- The examiners may recommend that the thesis is revised and resubmitted for the degree for which the thesis was originally submitted; or
- The examiners may recommend that the thesis is revised and submitted for a Masters degree.

The examiners may not award the Masters degree on the basis of the original submission.

Normally only one resubmission would be permitted. So, in considering a resubmission for the award of PhD, the Committee of Examiners may recommend that:

- The degree be awarded unconditionally; or
- The degree be awarded subject to certain specified revisions which would be carried out to the satisfaction of either the internal, or both examiners; or
- The thesis be revised and resubmitted for a Masters degree; or
- No degree be awarded.

In the case of a thesis which was originally submitted as a PhD and then resubmitted for a Masters award, the Committee of Examiners may exceptionally allow one further resubmission for a Masters award.

Whenever a resubmission is recommended, the Convener must ensure that an appropriate time limit is established.

## Notes of Guidance for Candidates for Research Degrees

### Intention to Submit Form

#### Duration of Study

The regulations governing the minimum and maximum duration of study are contained in the *University Calendar*, Doctor of Philosophy (1(c), 3.2 & 3.3). The duration of study is calculated from the date when the student first registered taking account of periods of part-time study and periods of approved suspensions from study approved by the Higher Degrees Committee or equivalent committee. Where the research has been undertaken on a part-time basis or on a combination of full-time and part-time study, the Higher Degrees Committee or equivalent committee shall determine the maximum period of study permitted before submission of the thesis. After the conclusion of the period of full-time or part-time study, the student shall be registered with a 'thesis pending' status. If further research project work is required, the College may require registration as a full-time or part-time student.

#### Notification of Intention to Submit a Thesis for Examination

The Graduate School requires approximately three months to set up a Committee of Examiners appointed to examine a thesis submitted for a higher degree by research. The form for this purpose is normally available from the Graduate School office or from the Graduate School web page. The candidate and the first supervisor should complete it no later than three months before the completion date. Failure to provide the required notification of intention to submit will lead to a delay in the examination of the thesis.

#### Status of the Signature of the Supervisor on the Intention to Submit form

The signature of the supervisor confirms that the work has been undertaken by the candidate in accordance with the regulations for the degree and that it is anticipated that it will be completed within the period specified. By signing the form, the supervisor is not expressing a view on the quality of the work. The supervisor should submit a report on any circumstances which arose in the course of the research which in his/her opinion should be made known to the Convener of the Committee of Examiners. The supervisor must submit a report if the thesis has been submitted against his/her advice.

#### The Appointment of a Committee of Examiners

On receipt of the form notifying intention to submit a thesis, the Clerk to the Higher Degrees Committee or equivalent committee will write to the candidate's Head of School/Research Institute or research unit seeking the nomination of a Committee of Examiners. The identification of a Convener and Examiners is the responsibility of the Head of School/Research Institute in consultation with the supervisor. It is not appropriate for the candidate either to be involved in the identification of the Examiners or to be informed of the names of those under consideration. It is standard practice for the supervisor or the Head of School/Research Institute to make an informal approach to the nominees to establish if the work is in their field of interest and if they would be prepared to examine the thesis.

The nominations are placed before the members of the Higher Degrees Committee or equivalent committee for consideration. During the summer months, the Convener of the Higher Degrees Committee or equivalent committee has authority to approve the appointments on behalf of the Committee. Following approval by the Higher Degrees Committee or equivalent committee, the Clerk to the Committee writes to the nominated Examiners and provides details of the examining process. The appointed Convener of the Committee of Examiners has responsibility for arranging the oral examination, normally within three months of receipt of the thesis.

### **Failure to Submit within the Time Specified**

A financial penalty is imposed on a candidate who fails to submit a thesis within the time specified on the form, "Notification of Intention to Submit a Thesis". Details of the financial penalty are provided with the University's fee information which is online at [www.gla.ac.uk/scholarships/fees/](http://www.gla.ac.uk/scholarships/fees/).

### **Additional Fees**

The annual fee covers registration, supervision of the research and examination. Additional fees are charged to certain categories of students and candidates who wish to resubmit a thesis. Details of the additional fees are provided with the University's fee information which is online at [www.gla.ac.uk/scholarships/fees/](http://www.gla.ac.uk/scholarships/fees/).

### **Word Count**

The regulations specify a word count for the thesis (in the College of Arts and the College of Social Sciences a minimum of 70,000 and a maximum of 100,000 words; in the College of Medical, Veterinary & Life Sciences and the College of Science & Engineering a maximum of 80,000). If the thesis does not comply with the regulations, the case for the longer or shorter length must be made by the candidate to the Higher Degrees Committee or equivalent committee in advance of the thesis being sent to the Examiners.

### **Declaration of Originality**

Candidates are required to print, complete and sign the Declaration of Originality (found in Appendix 2.4). The completed Declaration should be bound into the copies of the soft-bound thesis submitted to the Graduate School as stipulated below.

### **Number of Copies**

Three copies of the thesis should be submitted to the Graduate School. A copy will be provided to each of the examiners and to the Convener of the Committee of Examiners. The copies may be soft-bound but must be sufficiently robust to survive postage and handling. It is important to ensure that additional papers are securely provided in a pocket at the back of the thesis. It is not appropriate for the supervisor or any other individual in the School/Research Institute to send a copy of the thesis in advance to the Examiners prior to the copy being sent with formal documentation by the Graduate School.

When all corrections have been approved and the thesis has been accepted for the award of the degree, one hard bound copy must be submitted to the Graduate School and an electronic copy provided to the University Library. A letter of award will not be issued until these copies have been received. The bound copy should normally conform to the British Standard Institution's Recommendations for the presentation of theses (BS4821:1990) which is available for consultation in the Library or in the Graduate School. The electronic copy should conform to the specifications published at <http://theses.gla.ac.uk>.

## University of Glasgow

## College Identity

## Notification of Intention to Submit a Thesis for a Higher Degree by Research

Title of Degree sought: .....

School/Research Institute: .....

**1. Personal Details****Name in full:** .....

(Please provide the names and the order of the names as they will appear on the thesis.)

**Title:** .....**Registration Number:**

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Address for the Notification of the Examination result:

.....

.....

.....

**2. Details of Study****Period of Research**

Session	Full-time	Part-time	Thesis pending

Please state every session in which you have been in attendance and indicate your status.

**3. Details of Thesis**

Title of thesis: .....

Additional papers: .....

If you are submitting reprints of papers with the thesis, please state the titles and the names of any co-authors if necessary on a separate sheet:

**4. For completion by the Supervisor:**

	<b>Yes</b>	<b>No</b>
I have satisfied myself that the candidate is likely to submit the thesis for examination within three months.	<input type="checkbox"/>	<input type="checkbox"/>
I confirm that the stated word count complies with the regulation for the degree or has been otherwise approved by the relevant committee.	<input type="checkbox"/>	<input type="checkbox"/>
I confirm that the thesis is of an acceptable length considering the scope of the project and subject matter.	<input type="checkbox"/>	<input type="checkbox"/>
I will have / not have reviewed the full / partial thesis prior to its submission.	<input type="checkbox"/>	<input type="checkbox"/>

*The primary supervisor is required to provide a **short** statement for the attention of the Convener of the Committee of Examiners if any answer to any of the above is in the negative, if the thesis will be submitted against the advice of the supervisor or if there were circumstances which should be drawn to the attention of the Examiners. Supervisors should highlight any issues with regard to research integrity or research practice that concern them with regard to the work submitted.*

Signature of Supervisor .....

**NAME (block capitals)** .....

**Date:** .....

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**5. Declaration:**

I declare that this thesis has been produced in accordance with the University's Code of Good Practice in Research.

I have discussed the submission of the thesis with my supervisor.

I intend to submit the thesis with/without the approval of my supervisor. **Delete where applicable**

Normally the supervisor is not present during the oral examination. If you wish your supervisor to be present please indicate by placing a tick in the box:

I acknowledge that I am expected to ensure that data underpinning my thesis is to be securely held for a period of 10 years after the completion of the thesis, or for longer if specified by a funder or sponsor. Furthermore, I acknowledge that the University requires access to this data. In order to facilitate this, I have actively managed my data according to current guidelines and intend to deposit this data appropriately. Regardless of whether I complete my studies, I acknowledge that I must still ensure that data collected in the course of my research at the University is appropriately and securely deposited.

I undertake to submit three bound copies of the thesis within three months of the date stated below:

Signature: ..... Date .....

**Note to Administrator:**

**A copy of this form should be submitted to the Head of School/Research Institute with the nomination form for the appointment of examiners**

## Notes of Guidance for Heads of School/Research Institute/Research Group

### Appointment of Examiners Form

#### Appointment of Examiners Form

The completed "Notification of Intention to Submit a Thesis" form is copied to the Head of School/Research Institute/Head of Graduate School/Head of Research Group with a request to complete an Appointment of Examiners form by a member of staff in the Graduate School. It is expected that nominations will be made in consultation with the candidate's supervisors. The form should be completed and returned to the Graduate School. As the nominations require the approval of the Higher Degrees Committee or equivalent committee, or the Convener on behalf of the committee, it is important that where possible any delay in completion of the form is avoided. Following approval by the Committee on behalf of the College, the form is copied to the Senate Office which will endorse the appointment of the External Examiner on behalf of the Senate and the University Court.

#### Regulations relating to the appointment of a Committee of Examiners

It is important that the nominations comply with the regulations for research degrees.

*The thesis shall be examined by one or more examiners appointed by the Dean of Graduate Studies on behalf of Senate from among the experienced academic staff of the University, and by one or more External Examiners appointed by the Dean of Graduate Studies on behalf of the University Court and Senate. No person who has been involved in the direct supervision of the candidate may be appointed as an examiner. A thesis may be examined by two external examiners without the appointment of an Internal Examiner, with the approval of the Dean of Graduate Studies.*

Direct supervision is defined as responsibility for the day to day management of the research project. Subject to the approval of the Dean of Graduate Studies, an individual who was appointed as a second supervisor or who was responsible for monitoring the progress of a research student in the role of mentor or adviser, may be appointed as an Internal Examiner if the individual is confident that his/her independence of judgement has not been compromised.

Two External Examiners may be recommended to the Dean of Graduate Studies where there is an absence of suitably qualified Internal Examiners or the impartiality of suitably qualified Internal Examiners is in doubt. This may occur in a small discipline area or where the candidate has held any appointment in the School/Research Institute which is regarded as one which might compromise the impartiality of an Internal Examiner.

An External Examiner need not hold an academic appointment. He/she however should normally hold the qualification for which the candidate is being examined or should have experience of examining at doctoral level in a Higher Education institution. It is important to ensure that at least one member of the Committee of Examiners has this level of experience. In some cases, it may be appropriate to appoint a second External Examiner. A member of the Honorary staff of the University may be appointed as a second Internal Examiner.

Normally an External Examiner will be someone who has not held an academic appointment in the University of Glasgow for the previous five years. However, there may be occasions where the preferred nominee has held an appointment at this University more recently. In such cases the Dean of Graduate Studies and if necessary the Clerk of Senate should be consulted.

Care should be taken to ensure that where an individual from another institution has worked in collaboration either with the supervisor of the candidate or with the research group in which the candidate was working, the individual's nomination as an External Examiner of that candidate is appropriate. Where there is a perceived conflict of interest arising out of collaboration or of a personal relationship, this must be taken into consideration when nominating any member of the Committee of Examiners.

Where a problem has arisen with the examination, it may be appropriate for a third examiner to be appointed. In most cases this will be a second External Examiner. This examiner has the right to request a second oral examination.

It is not appropriate for a candidate to be consulted regarding the nomination of examiners and the identity of examiners should not be revealed to the candidate until the thesis has been submitted. This policy is intended to ensure that the thesis is not biased by the particular views of the appointed examiners.

### **Role of the Convener**

It is the responsibility of the Convener to make the arrangements for an oral examination and to ensure that this is normally held no later than three months after the submission of the thesis.

The Convener is responsible for ensuring that the oral is conducted in a fair manner, and in view of this it is expected that he/she will be present for the duration of the examination. It is appropriate for the Convener to ask the candidate questions of a general nature. However, the expectation is that the Convener will not participate in a detailed examination of the candidate.

The Convener is responsible for ensuring that the oral is of a reasonable duration, two hours being regarded as the norm. Where the oral is longer than two hours, it is recommended that the candidate is offered a short intermission.

The Convener is responsible for assisting the examiners to reach a consensus. It is the Convener who will arrange for the joint report stating the recommendation of the examiners to be signed at the conclusion of the examination. Following the oral, the Convener will co-ordinate the completion of a joint report detailing the requirements for revision or resubmission which the Convener will provide to the candidate.

Where difficulties arise, the Convener shall decide whether an adjournment is required. Where agreement has not been reached between the examiners, the Convener should be aware that normally the view of the External Examiner shall prevail. Exceptionally, the Convener may refer to Senate if the External Examiner's view is in question and this may lead to a recommendation to the Higher Degrees Committee for the appointment of a third examiner who will normally be an External Examiner.

An individual report is not normally required from the Convener, except in certain circumstances as described in Appendix 2.6.

### **Role of the Supervisor**

It is important that the role of the supervisor is in accord with the regulations.

*The supervisor will not normally be present at the oral examination but shall be available to the Examiners for consultation.*

The regulation states clearly that the supervisor is not expected to be present at the oral examination of the candidate. However, it is expected that the supervisor shall be available to answer questions concerning the conduct of the research. The examiners may request that the candidate withdraws when the supervisor is being consulted.

It is advisable to invite the supervisor to join the Committee of Examiners when the examiners are discussing with the candidate the requirements for correction, revision or resubmission.

If the candidate makes a request in writing to the Convener for the supervisor to be present at the oral examination, this should normally be permitted. The request should be made no later than one week before the date of the oral.

In signing a submission form, the supervisor is confirming only that the work was undertaken by the candidate. It shall be made clear in the wording of the form that the supervisor's signature does not endorse that the work has been completed nor does it indicate that the thesis has achieved the required standard for the award of the degree. A candidate may submit a thesis against the advice of the supervisor but in such cases the supervisor is required to state the position in a report submitted to the Convener of the Committee of Examiners.

Subject to the approval of the Dean of Graduate Studies, the second supervisor or other member of the supervisory team may be appointed as an Internal Examiner on condition that the involvement in the day to day supervision of the candidate has been minimal and the impartiality of the individual has not been compromised.

**Informal Approach to the Nominated Examiners**

It is standard practice for the supervisor or the Head of School/Research Institute to make an informal approach to the nominees to establish if the work is in their field of interest and if they would be prepared to examine the thesis.

**Replacement of Examiners**

If subsequently an examiner has to be replaced, the new nomination must be sent to the administrator responsible for research degrees with an explanation of the need for a replacement.

**Advice**

Questions concerning the process of appointing examiners should be referred in the first instance to the Clerk of the Higher Degrees Committee or equivalent committee in the relevant College Graduate School.

**University of Glasgow**

***College Identity***

**Statement of Originality to Accompany Thesis Submission**

**Name:**

**Registration Number:**

I certify that the thesis presented here for examination for [a/an MPhil/PhD] degree of the University of Glasgow is solely my own work other than where I have clearly indicated that it is the work of others (in which case the extent of any work carried out jointly by me and any other person is clearly identified in it) and that the thesis has not been edited by a third party beyond what is permitted by the University's PGR Code of Practice.

The copyright of this thesis rests with the author. No quotation from it is permitted without full acknowledgement.

I declare that the thesis does not include work forming part of a thesis presented successfully for another degree [unless explicitly identified and as noted below].

I declare that this thesis has been produced in accordance with the University of Glasgow's Code of Good Practice in Research.

I acknowledge that if any issues are raised regarding good research practice based on review of the thesis, the examination may be postponed pending the outcome of any investigation of the issues.

*[Delete where appropriate]*

**Statement if you are submitting this thesis against the advice or without the support of your supervisor**

I am submitting this thesis without the knowledge / approval of my supervisor. I fully understand my responsibilities in this context as a researcher under the University's policies, including the Code of Good Practice in Research.

**Statement of conjoint work**

I confirm that [Chapter X] was jointly authored with [Name] and I contributed y% of this work.

**Statement of inclusion of previous work**

I confirm that [Chapter X] was the result of previous study for [name of award] at [name of institution]. The rationale for inclusion of previous work is:

[please provide a short statement]

Signature: .....

Date: .....

**This completed statement must be bound into the submitted copies of the soft-bound thesis.**

University of Glasgow

**Nomination of a Committee of Examiners for a research degree candidate**

*This nomination form (Form EEx) should be completed by the Head of School/Research Institute(s) in which the candidate has carried out the research. Where there is joint supervision, the form should be signed by the Heads of School/Research Institute concerned. It should be forwarded to the Graduate School, normally not less than two months before the date by which the thesis is due to be submitted. The nomination should be considered by the Higher Degrees Committee or equivalent committee and if approved, the letters of appointment should be sent to the members of the Committee by the Graduate School.*

The nomination should not be discussed with the candidate. The identity of the members of the Committee of Examiners should not be revealed to the candidate until the thesis has been submitted for examination.<sup>1</sup>

**Candidate** .....

Degree for which thesis will be submitted: .....

Registration Number ..... School/Research Institute:.....

Title for Thesis:.....

.....

*First Supervisor:* .....

*Second Supervisor:*.....

Following consultation with the supervisors the following are the nominations for a Committee of Examiners:

**Convener:** .....

Contact address:.....

.....

Contact Extension..... E-mail address.....

**Internal Examiner:** .....

Contact address:.....

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Contact Extension..... E-mail address.....

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<sup>1</sup> Once the names of the Examiners have been provided, the candidate has the right to raise any concerns or suspicions of conflict of interest. This must be done within two weeks of the release of the names. The membership of the Committee of Examiners will then be reviewed and, if deemed appropriate, amended.

Second internal examiner (Where required) .....

Contact address:.....

.....

Contact Extension..... E-mail address.....

**Particulars of the nominated External Examiner**

Title and full name:

Prof/Dr/Rev/Mr/Mrs/Ms/Miss/Other .....

Subject or Area of Expertise: .....

Academic Qualifications: .....

University, College or Business:.....

Address for correspondence:.....

.....

.....

Telephone number .....

E-mail address .....

Current post: .....

*if an academic post, please*

*include the grade and subject .....*

*e.g. Reader in English Literature*

*Reserve or Second External Examiner (please delete as appropriate)*

Title and full name:

Prof/Dr/Rev/Mr/Mrs/Ms/Miss/Other .....

Subject or Area of Expertise: .....

Academic Qualifications: .....

University, College or Business:.....

Address for correspondence: .....

.....

.....

Telephone number .....

E-mail address .....

Current post: .....  
*if an academic post, please  
include the grade and subject .....  
e.g. Reader in English Literature*

1. Has any member of the Committee been involved in the direct supervision of the candidate? Direct supervision is defined as responsibility for the day to day management of the research project. YES/NO
2. Has any member of the Committee been a second supervisor or held responsibility for monitoring the progress of the candidate during the research period? YES/NO

If the answer is in the affirmative, please state the extent of the involvement and confirm that in the opinion of the individual/s making the nomination, the impartiality of the nominees/s has not been compromised. Please confirm that the Dean of Graduate Studies has approved this nomination.

3. Has the nominated External Examiner held an academic appointment in the University of Glasgow during the previous five years? YES/NO

If the answer is in the affirmative, please state why the nominee is considered to be the most appropriate External Examiner for this candidate. Please confirm that the Dean of Graduate Studies has approved this nomination.

4. Has the nominated External Examiner worked in collaboration either with the supervisor of the candidate or with the research group in which the candidate was working? YES/NO

If the answer is in the affirmative, please state why the nominee is considered to be the most appropriate External Examiner for this candidate. Please confirm that the Dean of Graduate Studies has approved this nomination.

5. Does one or more member(s) of the nominated Committee hold the qualification for which the candidate is being examined? YES/NO
6. Does one or more member(s) of the nominated Committee have experience at examining for the qualification which the candidate is seeking? YES/NO

***The nomination must be signed by the Head of School/Research Institute***

Nominating Head(s) of School/Research Institute:

School/Research Institute	Name	Signature	Date
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**\*\* On completion this form should be forwarded to the appropriate Graduate School \*\***

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*[For Office use only]*

**Graduate School Approval**

Name of Graduate School:

Name of Committee which approved the nomination:

Date of approval:

Signature of Graduate School Administrator:

Signature..... Name.....

Date.....

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**To: Senate Office  
Senate and Court approval**

Endorsed on behalf of the Senate and the University Court:

Signature ..... Name .....  
for and on behalf of the Senate  
and University Court

Date .....

Proposed Fee: £.....

per annum  
per diem

**UNIVERSITY OF GLASGOW****Notes of Guidance for the Convener of a Committee of Examiners****Notification of Intention to Submit Form**

The Graduate School will send a copy of the Notification to Submit form to the Convener. It is important that the Convener checks whether the supervisor has indicated at this stage any specific concerns or special circumstances which relate to the thesis.

**Oral Examination Arrangements**

The Convener is responsible for arranging the date of the oral examination which should be no later than three months after the date on which the thesis was submitted. The date should be convenient for the candidate, the Internal Examiner as well as the External Examiner and at least one of the supervisors who might be required to answer questions concerning the project. The Graduate School should be informed of the date of the oral examination.

**Pre-Oral Reports**

Examiners are requested to submit a report to the Graduate School no later than eight weeks following receipt of the thesis and no later than one week prior to the date of the oral examination. The Graduate School will copy the reports to the Convener.

**Conduct of the Oral Examination**

The Convener is responsible for ensuring that the oral is conducted in a fair manner and in view of this, the Convener should be present for the duration of the examination. The Convener may ask questions of a general nature but will not participate in a detailed examination of the candidate.

The Convener is responsible for assisting the examiners to reach a consensus. It is the Convener who will arrange for the joint recommendation of the examiners to be signed at the conclusion of the examination. Where difficulties arise, the Convener shall decide whether an adjournment is required. Where agreement has not been reached between the examiners, the Convener should be aware that normally the view of the External Examiner shall prevail. Exceptionally, the Convener may refer to Senate if the External Examiner's view is in question and this may lead to a recommendation to the Higher Degrees Committee for the appointment of a third examiner who will normally be an External Examiner.

The Convener may inform the candidate verbally of the outcome of the examination, normally by inviting the candidate to return to the examination room.

**Post-Oral Reports**

The Convener is responsible for co-ordinating the preparation of the joint statement of requirements for revision or recommendations for resubmission. The statement should be produced without undue delay and provided to the candidate and the Graduate School with the signed joint report of the Committee of Examiners.

An individual report is not normally required from the Convener except in the following circumstances:

- The appointment of a third Examiner is required.
- The Committee of Examiners recommend the appointment of a new committee for the examination of the Resubmission.
- The Committee of Examiners wish to waive the requirement for a second oral examination after Resubmission.

## UNIVERSITY OF GLASGOW

## Notes of Guidance for Examiners to Accompany the Thesis

**Submission of Pre-Oral Report**

Examiners are requested to submit a pre-oral report on the form provided to the Graduate School within eight weeks of receipt of the thesis or at least one week prior to the date of the oral examination.

**Oral Examination**

The regulations for the degree of PhD in the University of Glasgow state:

*A candidate for the Degree of PhD must present himself or herself for oral examination by the Committee of Examiners on the subject matter of the thesis and its context. The requirement for an oral examination shall be observed at the first submission of the thesis. In undertaking an oral or other examination the candidate must follow any requirements for the assessment as stated by the Graduate School. Where a candidate has been permitted to resubmit a thesis for examination, an oral shall also be held other than in exceptional circumstances, where the Convener, on the recommendation of the Committee of Examiners, may seek the agreement of the Dean of Graduate Studies to set aside the requirement for an oral examination after resubmission. In such circumstances the agreement of the candidate must be obtained, otherwise the candidate shall have the right to insist on an oral being held.*

The oral examination is held no later than three months after submission of the thesis.

**Mandatory Training**

Details of the generic training provided by the College are enclosed with the thesis. Examiners may discuss the research training with the candidate at the oral examination.

**Role of the Supervisor**

The supervisor does not normally attend the oral examination unless the candidate has specifically requested this. He/she will be available in the building at the time of the oral and may be requested to attend to answer questions concerning the research project. If the thesis has been submitted for examination against the advice of the supervisor or if there are special circumstances relating to the candidate or the project, this will have been stated on the *Notification of Intention to Submit a Thesis* form or in a report to the Convener from the supervisor.

**Joint Report of the Committee of Examiners**

Following the oral examination, Examiners will be asked to sign the Joint Report Form of the Committee of Examiners and where appropriate to provide a joint statement detailing any revisions required. The outcome of the examination will be one of the following options:

- a) the degree be awarded **unconditionally**
- b) the degree be awarded subject to **certain minor corrections of detail or of presentation** specified by the examiners. These shall not involve changes of substance to the thesis. The corrections shall be carried out within **one month** of receipt of the specifications to the satisfaction of the Internal Examiner.
- c) the degree be awarded subject to **certain changes of substance in a specific element or elements of the thesis** specified by the examiners. These shall not involve a revision of the whole thesis or of a major proportion of it. They may however include a requirement to carry out a further period of research in order to strengthen the thesis. The revisions shall be carried out within a timescale determined by the examiners and shall be confirmed by both the Internal and the External Examiners.
- d) the thesis as a whole is unacceptable. The candidate is invited to **resubmit** the thesis taking account of the comments of the examiners. The resubmitted thesis will be examined on one occasion only. It will be resubmitted within a timescale to be determined by the examiners but normally no later than **12 months** after the date of the joint report notifying the candidate of

the requirements for revision. A resubmission fee will be charged to cover the examining costs.

- e) the thesis as a whole is unacceptable for the award of a doctoral degree. The candidate is invited to revise and **resubmit** the thesis for a **Masters** degree.
- f) **no degree be awarded.**

#### **Submission of Joint Statement**

Where correction, revision or resubmission is required the examiners prepare a joint signed statement specifying the requirements and stating the timescale.

#### **Expenses**

The expenses form should be submitted immediately following the oral examination and submission of final reports. Payment of the fee for examining the thesis will be made on receipt of the final report and the expenses form. This is issued by the Finance Office on a monthly basis and normally at the end of the month. The Finance Office requires receipts by the mid-month deadline if payment is to be made at the end of that month.



**B General Comments and Preliminary Recommendation**

**C Good Practice in Research**

Examiners are asked to note that students of the University of Glasgow who are carrying out research are expected to adhere to the University's Code of Good Practice in Research ([www.gla.ac.uk/research/aims/ourpolicies/](http://www.gla.ac.uk/research/aims/ourpolicies/)). If the examiner has any concerns about the thesis in this regard, please details these here.

**Signature of Examiner** .....

**Date**.....

UNIVERSITY OF GLASGOW

REPORT OF THE COMMITTEE OF EXAMINERS FOLLOWING AN ORAL EXAMINATION OF  
A THESIS PRESENTED FOR A RESEARCH DEGREE

This form should be completed and returned to the Graduate School.

Candidate:

Title of Thesis:

Name of Convener:

Name of External Examiner:

Name of Internal Examiner:

Date of Oral Examination:

Please circle the selected letter indicating the outcome of the examination:

- a) the degree be awarded **unconditionally**.
- b) the degree be awarded subject to **certain minor corrections of detail or of presentation** specified by the examiners. These shall not involve changes of substance to the thesis. The corrections shall be carried out within **one month** of receipt of the specifications to the satisfaction of the Internal Examiner.
- c) the degree be awarded subject to **certain changes of substance in a specific element or elements of the thesis** specified by the examiners. These shall not involve a revision of the whole thesis or of a major proportion of it. They may however include a requirement to carry out a further period of research in order to strengthen the thesis. The revisions shall be carried out within a timescale determined by the examiners and shall be confirmed by both the Internal and the External Examiners.
- d) the thesis as a whole is unacceptable. The candidate is invited to **resubmit** the thesis taking account of the comments of the examiners. The resubmitted thesis will be examined on one occasion only. It will be resubmitted within a timescale to be determined by the examiners but normally no later than **12 months** after the date of the joint report notifying the candidate of the requirements for revision. A resubmission fee will be charged to cover the examining costs.
- e) the thesis as a whole is unacceptable for the award of a doctoral degree. The candidate is invited to revise and **resubmit** the thesis for a **Masters** degree.
- f) **no degree be awarded**.

Students of the University of Glasgow who are carrying out research are required to adhere to the University's Code of Good Practice in Research. The outcome of this examination, declared herein, has been agreed by the examiners with these principles in mind.

The form should be signed by the examiners:

Convener:

External Examiner:

Internal Examiner:

Date:

**UNIVERSITY OF GLASGOW**

**REPORT OF THE COMMITTEE OF EXAMINERS FOLLOWING AN ORAL EXAMINATION OF  
A THESIS PRESENTED FOR A RESEARCH DEGREE**

**STATEMENT OF REQUIREMENTS FOR REVISION<sup>2\*</sup>**

**Candidate:**

**Title of Thesis:**

**The form should be signed by the examiners:**

**External Examiner:**

**Internal Examiner:**

**Date:**

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\* The candidate must ensure that amendments are clearly identified on the resubmitted/revised thesis.