A2: Regulations for research degrees: Master of Philosophy (MPhil), Doctor of Philosophy (PhD), Doctor of Medicine (MD) by research and thesis

Academic Year 2014/15
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# A2: Regulations for research degrees

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1. These Regulations should be read in conjunction with the University's Code of practice for research degrees.

Admission

2. An applicant holding a Degree may be admitted to a research programme leading to the Degree of Doctor of Philosophy with probationary status (with registration subject to confirmation). The minimum requirement for registration for the degree of Doctor of Philosophy with probationary status will normally be that of an Honours Degree (Second Class, First Division) from a UK university or other qualification deemed by the Senate to be equivalent. An applicant who is not a graduate may be admitted provided that the applicant holds professional or other qualifications deemed appropriate.

3. An applicant holding a Degree may be admitted solely to a research programme leading to the Degree of Master of Philosophy. Should the student subsequently wish to transfer their registration to the Doctor of Philosophy then they would need to apply to register and undertake the confirmation.

4. An applicant who is registered for clinical practice in the UK may be admitted to a programme of study and research leading to the Degree of Doctor of Medicine.

5. An applicant may not be admitted to a programme of study and research leading to the Degree of Master of Philosophy, Doctor of Philosophy or Doctor of Medicine unless the applicant has first been accepted by the Dean of the Faculty in which the applicant proposes to study. The admission of an applicant may be subject to conditions specified by the Dean of Faculty.

English language requirements

6. Applicants will be required to satisfy the admissions panel of an ability to understand and communicate in both written and spoken English consistent with the University’s current threshold level in IELTS or equivalent. IELTS scores, or equivalent, must be current and have been obtained no earlier than two years of the start date of the programme. It may be appropriate to ask for more than the minimum level in certain disciplines.

Registration

7. A student for the Degree of Master of Philosophy, Doctor of Philosophy or Doctor of Medicine must register at the start of the programme of research and shall undertake to comply with the Charter, Statutes, Ordinances and Regulations of the University. Registration shall normally be effective from 1 October, 1 January, 1 April or 1 July. In exceptional circumstances a student may commence on other dates subject to the approval of the Dean of Faculty. A student must re-enrol by the specified date for each year the programme of research is pursued. The registration of a student who fails to re-enrol by the specified date may be deemed to have lapsed and will be terminated. No student is entitled to register or re-enrol unless the prescribed fees have been paid.

Simultaneous registration

8. A student pursuing a programme of study and research on a full-time basis may not simultaneously register for another award of the University, or any other university, except that:

- if a student has completed a programme of study for another award but the award has not been made, the student may register provisionally for a period not exceeding three months
• exceptionally, and subject to approval by the Executive Board, a student registered at two institutions (the University of Surrey and a collaborative partner) may submit his or her thesis for examination at both institutions. Satisfactory performance at each institution would result in a dual award for the thesis.

Transfer from another institution

9. The Research Degrees Committee may permit a student who has started a programme of study and research at another institution to complete it as a registered student of the University of Surrey. The Research Degrees Committee shall specify the minimum and maximum periods of study and research in each case.

Transfer between modes of study

10. A student may be permitted by the Dean of Faculty to transfer between full-time and part-time registration. The Dean of Faculty shall inform the Academic Registry of any such transfers. The minimum and maximum periods of registration shall be determined in each case according to the periods in which the student was registered under each mode.

Mode of study

11. A programme of study and research may be pursued:
   • on a full-time or part-time basis at the University
   • on a full-time or part-time basis with a collaborative organisation which has suitable facilities for carrying out research

Study on a collaborative basis

12. Where an application to study on a collaborative basis is being considered, a formal, written, collaborative agreement between the University and the collaborating organisation is required and must be approved by the Dean of Faculty.

13. Where the student is an employee of the collaborating organisation, the agreement will state:
   • that the student has sufficient time to devote to the doctoral research project in accordance with their registration status
   • that the student will be released from other duties for visits to the University as necessary and also for a period at the end of the research in order to prepare a thesis.

14. The University reserves the right to cancel the registration of a student if the collaborating organisation concerned is unable to carry out the agreement.

15. A student may pursue the programme of study and research outside the United Kingdom if permitted to do so by the Dean of Faculty.

PhD programme

16. A programme of research for the degree of PhD must include all of the following:
   • original research leading to a contribution to new knowledge
   • sufficient study in discipline-specific matters as to permit a graduate to contribute at the forefront of the relevant profession or research
   • training in elements that allow the student to develop discipline-specific and transferable and generic skills
PhD

17. In accordance with the QAA Framework for Higher Education Qualifications (FHEQ)\(^1\), the thesis will demonstrate:

- the creation and interpretation of new knowledge, through original research or other advanced scholarship, of a quality to satisfy peer review, extend the forefront of the discipline, and merit publication
- a systematic acquisition and understanding of a substantial body of knowledge which is at the forefront of an academic discipline or area of professional practice
- the general ability to conceptualise, design and implement a project for the generation of new knowledge, applications or understanding at the forefront of the discipline, and to adjust the project design in the light of unforeseen problems
- a detailed understanding of applicable techniques for research and advanced academic enquiry

MD

18. The thesis submitted for Doctor of Medicine will have the characteristics listed above but the research is likely to draw on clinical or laboratory work and may involve clinical trials or other work with patients in the practical/clinical setting.\(^2\)

MPhil

19. A thesis submitted for the degree of Master of Philosophy will be informed by the forefront of an academic or professional discipline, will show originality in the application of knowledge, and will understand how the boundaries of knowledge are advanced through research.\(^3\) The student will have an in-depth knowledge and understanding of the discipline informed by current scholarship and research, including a critical awareness of current issues and developments in the subject; the ability to study independently in the subject; the ability to use a range of techniques and research methods applicable to advanced scholarship in the subject\(^4\)

Minimum and maximum periods of study for MPhil/PhD

20. The minimum and maximum periods of study for the awards covered by these Regulations are:

<table>
<thead>
<tr>
<th>Programme</th>
<th>Minimum period of registration</th>
<th>Maximum period of registration</th>
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<tbody>
<tr>
<td>MPhil Full-time</td>
<td>20 months</td>
<td>36 months</td>
</tr>
<tr>
<td>MPhil Part-time</td>
<td>40 months</td>
<td>72 months</td>
</tr>
<tr>
<td>PhD Full-time</td>
<td>30 months</td>
<td>48 months</td>
</tr>
<tr>
<td>PhD Part-time</td>
<td>60 months</td>
<td>96 months</td>
</tr>
</tbody>
</table>

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\(^1\) Framework for Higher Education Qualifications in England, Wales and Northern Ireland
\(^2\) Doctoral degree characteristics
\(^3\) UK Quality Code for Higher Education: Part A Setting and maintaining academic standards: Chapter A1 the national level
\(^4\) Master’s degree characteristics
21. The minimum period of registration can be reduced further on the condition that the case for reduction is supported by the student, supervisors and Dean of Faculty and is approved by the Research Degrees Committee.

**Extensions and withdrawal**

22. A student retains the right to permanently withdraw from a programme of research.

**Extension of time**

23. The Research Degrees Committee will consider requests for extension where there has been:
   - for part-time students in full-time employment only, an increase in their workload due to circumstances beyond their control
   - difficulties in the research that were beyond the student’s control
   - difficulties relating to continuity of supervision
   - other exceptional circumstances

24. A student may apply for an extension to the maximum period of registration or resubmission period by submitting a request to the Research Degrees Committee. The maximum extension to a period of registration is twelve months aggregate. If a student is not granted an extension and has reached the maximum period of registration then their registration will be terminated on the grounds that it has lapsed.

25. All requests for extension will be made by the student on the standard pro-forma and accompanied by supporting evidence. Requests for extension without supporting evidence will not be considered by the Research Degrees Committee. Students are required to provide a timeline for submission with interim, testable milestones.

26. A request for extension requires the support of the supervisors and Dean of Faculty. If the supervisors or Dean of Faculty do not support the extension request, the student is at liberty to submit the request directly to the Research Degrees Committee for consideration. All requests for extension are subject to approval by the Research Degrees Committee.

27. Students in receipt of funding are advised to check the terms of their scholarship. International students are also advised to check their visa status before making a request for extension.

**Temporary withdrawal**

28. It is expected that registration for a research degree will be continuously pursued. However, the Dean of Faculty may recommend to the Research Degrees Committee that a student be granted a period of temporary withdrawal. In all but the most exceptional cases, students will not be permitted a period of temporary withdrawal in excess of twelve months aggregate over the period of registration.

29. The Research Degrees Committee will consider requests for temporary withdrawal where there has been:
   - bereavement through the death of a close relative or significant other* that in employment would lead to a reasonable employer to grant compassionate leave
   *
   *[in such cases the Research Degrees Committee will require independent evidence of the nature of the relationship]
• serious short-term illness or accident of a nature that, in employment, would lead a reasonable employer to agree absence on sick leave
• a long-term (chronic) health problem suddenly worsening
• for part-time students in full-time employment only, a significant increase in their workload due to circumstances beyond their control
• maternity or paternity
• difficulties relating to continuity of supervision
• difficulties in research beyond the student’s control
• other exceptional circumstances

30. All requests for temporary withdrawal will be made by the student on the standard pro-forma and accompanied by supporting evidence. Requests for temporary withdrawal without supporting evidence will not be considered by the Research Degrees Committee. A request for temporary withdrawal requires the support of the supervisors and Dean of Faculty. If the supervisors or Dean of Faculty do not support the request for temporary withdrawal, the student is at liberty to submit the request directly to the Research Degrees Committee for consideration. All requests for temporary withdrawal are subject to approval by the Research Degrees Committee.

31. Where a period of temporary withdrawal is approved, the student’s registration will be extended by the same period of time.

32. Retrospective applications for temporary withdrawal will not be considered except in exceptional circumstances.

33. Students in receipt of funding are advised to check the terms of their scholarship. International students are also advised to check their visa status before making a request for temporary withdrawal.

Supervisors

34. The Dean of Faculty shall appoint two supervisors for each student. The Dean of Faculty may appoint a replacement or additional supervisor at any time if necessary or desirable. In all cases, at least one of the supervisors shall have supervised solely or as a team member at least one research student through to successful completion of a doctoral degree. The Principal Supervisor will be the main point of contact between the student and the University.

35. In addition to the University supervisors, collaborative students will be allocated a collaborative supervisor who will be a member of the collaborating organisation.

36. The Dean of Faculty shall inform the Research Degrees Committee of the names of the supervisors and any changes thereto.

Principal Supervisor

37. At least one supervisor, the Principal Supervisor, shall be a member of the University’s staff holding at least a 0.5 fte appointment as Professor, Reader, Senior Lecturer, Lecturer or Professorial Research Fellow, Senior Research Fellow, or Research Fellow.

38. The Principal Supervisor will:
• be an active researcher in an area relevant to the student’s field of research
• undertake the supervisor training programme offered by the Researcher Development Programme if they have not previously supervised at least one student through to successful completion
• have an expectation of holding the appointment with the University for at least the minimum period of the student’s registration

39. The responsibilities of the Principal Supervisor are listed in the *Code of practice for research degrees*.

**Co-supervisor**

40. The Co-supervisor should be appointed from among the following:

• a full- or part-time member of the University’s staff (including those in their probationary period), holding appointment as Professor, Reader, Senior Lecturer, Lecturer, Senior Tutor, Tutor, Professorial or Senior Research Fellow, Research Fellow, Senior Experimental Officer or Experimental Officer, Post-Doctoral Research Associate

• those holding honorary, joint or Emeritus/a appointments

• a member of another organisation with expertise appropriate to the student’s programme of study and research, where there are good reasons to include them

41. A Co-supervisor will:

• have appropriate knowledge and normally be an active researcher

• have an expectation of holding the appointment with the University for at least the minimum period of the student’s registration

• undertake the supervisor training programme offered by the Researcher Development Programme if they have not previously supervised at least one student through to successful completion

42. The responsibilities of the Co-supervisor are listed in the *Code of practice for research degrees*.

**Collaborative Supervisor**

43. A Collaborative Supervisor will typically be one drawn from a collaborative organisation which might be in industry, a research institution, other institution of higher education, etc., appointed in association with the research.

44. A brief curriculum vitae, highlighting relevant experience, should be provided by prospective collaborative supervisors to enable the Dean of Faculty to determine their suitability to supervise research students. Attributes for effective collaborative supervision should include one or more of the following:

• specialist knowledge or expertise in the student’s field of research

• a research profile in an area relevant to the student’s field of research

• experience of successfully supervising research at doctoral level

**Reports to supervisors**

45. As a minimum, full-time students will have at least one supervisory session per month; part-time students will have at least one supervisory session every two months.

46. Student progress will be formally monitored at six and twelve months into each year of registration.

47. An unsatisfactory outcome of a review or refusal by a student to complete a review will result in the initiation of unsatisfactory academic progress procedures unless a request for recognition of extenuating circumstances is found to be valid by an extenuating circumstances panel.
Training

48. Students and supervisors will agree at the outset a programme of discipline-specific and skills courses ensuring that the compulsory elements are included. Students and supervisors will keep this under review and formally report on progress every six months. Students on an Integrated PhD programme will additionally be required to successfully complete specified FHEQ Level 7 modules in order to progress to the research stage of their programme.

Unsatisfactory academic progress

49. A student’s registration may be terminated on the grounds of unsatisfactory academic progress. If the Principal Supervisor judges a student’s progress to be unsatisfactory they will first consult the Faculty PGR Programmes Director. The details of this consultation will be documented and both parties must be in agreement that the student’s progress is unsatisfactory. If there is a disagreement between the parties then the case will be referred to the Research Degrees Committee for a decision.

50. The student will be sent written notification that their progress has been deemed unsatisfactory and offered the opportunity to remedy this. The student will be offered at least three months to meet specified targets.

51. Following the specified period, the student’s case will be reviewed by the Principal Supervisor, Faculty PGR Programmes Director, and one other member of the Faculty not previously involved in the case but with experience of PGR supervision. If all parties agree that the student has failed to meet the targets to the required standard then a recommendation for programme termination will be made to the Research Degrees Committee. If there is a disagreement between the parties then the case will be referred to the Research Degrees Committee for a decision.

52. Where a student makes a request for the recognition of extenuating circumstances during or after the specified period, this will be considered in accordance with the mechanisms described in the Regulations for extenuating circumstances. Where extenuating circumstances are found to be valid, the deadline will normally be extended by up to three months subject to the approval of the Research Degrees Committee.

Loss of contact

53. In cases where the student appears to have withdrawn from the programme of study and failed to make contact with the Faculty (normally for 3 months or more), it will be sufficient for a recommendation for termination to be made to the Research Degrees Committee solely on the basis of evidence showing that reasonable efforts have been made to contact the student at the last email and postal address provided and warning the student of the consequences of not contacting the Faculty within 10 working days.

Fitness to practise and study

54. The Regulations for fitness to practise and the Regulations for fitness to study apply to postgraduate research students.

Confirmation of PhD/MD registration

55. The confirmation will normally take place twelve to fifteen months after initial registration for full-time students and twenty-four to thirty months for part-time students. With the agreement of the Research Degrees Committee, students may undergo the confirmation earlier.

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5 If the Faculty PGR Director is the principal supervisor then they will consult the Faculty Associate Dean (Research).
56. The Principal Supervisor shall arrange a meeting to consider the application. The meeting shall involve: the student; with at least one supervisor in attendance; and the examiners.

57. The student will be examined by two examiners (normally, internal). The examiners will:
   - have expertise in an area relevant to the student’s research
   - will have completed the relevant confirmation examiner training if they have no prior experience of examining a confirmation
   - not have had any involvement with the project that could give rise to a conflict of interest
   - have no personal relationship with the student that could give rise to a conflict of interest
   - any external will have examined at least one confirmation, or equivalent, at another institution

58. Where the candidate is also a member of staff of the University, at least one examiner will be external to the University.

59. Where an external examiner is used, the internal examiner will perform the dual role of examiner and Chair.

60. The appointment of the examiners is subject to the approval of the Dean of Faculty.

61. Following the examination, the Dean of Faculty shall recommend to the Research Degrees Committee:
   - that the student be permitted to continue registration on the Degree of Doctor of Philosophy/Doctor of Medicine or
   - that the student’s PhD/MD registration should not be confirmed but that the student may resubmit for confirmation of registration on a single occasion only, normally three months later with or without further oral examination. One of the examiners will supply the candidate with a written statement within 5 working days after the meeting of the action to be taken in order to satisfy the criteria for confirmation of PhD/MD registration.

62. The Dean of Faculty may require other evidence of fitness to practise or study before making the recommendation.

63. Following the second examination, the Dean of Faculty shall recommend to the Research Degrees Committee:
   - that the student be permitted to continue registration on the Degree of Doctor of Philosophy/Doctor of Medicine or
   - that the student should be registered for the Degree of Master of Philosophy or
   - That the student’s registration be terminated

64. The Dean of Faculty may require other evidence of fitness to study or practise before making the recommendation.
Continuing status

65. A student may apply to register as a 'continuing student' while completing the thesis or portfolio. Continuing status may be granted provided that:

- a student has completed a minimum period of research and study as follows:

<table>
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<tr>
<th>Degree</th>
<th>Minimum Period</th>
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<tbody>
<tr>
<td>MPhil</td>
<td>24 Months (Full-time)</td>
</tr>
<tr>
<td></td>
<td>48 Months (Part-time)</td>
</tr>
<tr>
<td>PhD</td>
<td>36 Months (Full-time)</td>
</tr>
<tr>
<td></td>
<td>72 Months (Part-time)</td>
</tr>
<tr>
<td>MD</td>
<td>24 Months (Part-time/Collaborative)</td>
</tr>
</tbody>
</table>

- the transfer is approved by both the principal supervisor and Dean of Faculty
- the student is making use only of the University's general facilities; is no longer using facilities of the Faculty such as laboratories or other specialist facilities and is receiving advice solely related to the writing up of his/her thesis

Thesis or portfolio

66. A student shall present a thesis or portfolio.6

References to work of others and previous work

67. A student shall indicate by means of explicit references the citation of the work of others or work by the student which is not part of the submission for the Degree. Work submitted for another Degree may not comprise part of the submission for the Degree of Master of Philosophy, Doctor of Philosophy or Doctor of Medicine.

Joint or group project

68. A student who has submitted work forming part of a joint or group research project, shall be required to satisfy the examiners that the student's share of the work is sufficient to justify the award of the Degree. In such cases the thesis must contain an introductory note stating the student's own claims to his or her contributions. A copy of such a note should be countersigned by the co-researchers.

Performing arts

69. A student registered for an MPhil or PhD award in the field of performing arts may submit, in lieu of a thesis, a portfolio of original works that the student has undertaken while registered for the Degree. The portfolio shall include notes on each item within it and either an extended analysis of one item or a dissertation on a related theme.

70. The proposed work in lieu of a thesis shall be subject to the approval of the Dean of Faculty.

Examination entry form

71. A student shall be required to complete an examination entry form not earlier than six months nor later than two months before the thesis is presented; the proposed title of the thesis shall be entered on the form. The title of the thesis must be approved by the Dean of Faculty. No change in the approved title may be made except with the consent of the Dean of Faculty.

6 For the purposes of these Regulations the term “thesis” hereafter shall be taken to imply also “portfolio.
Time limits
72. The thesis shall be submitted not earlier than the end of the minimum period of research or later than the end of the student's period of registration. In exceptional circumstances, the Research Degrees Committee may permit the student to submit the thesis at an earlier date.

Format of thesis
73. The thesis shall be temporarily bound before it is examined. One copy per examiner shall be submitted to the Faculty for distribution and, if required, a copy shall be submitted for use by the supervisors. Where appropriate, a copy of the thesis may also be required by a collaborating organisation.

74. The thesis shall be typed on A4 sized paper. All pages should be numbered. The title page shall bear the approved title, and student's name, the Degree for which the student is registered and the year in which the thesis is presented. A summary of the work, not exceeding 300 words in length and a signed Statement of Originality must be included in each copy following the title page. Whenever possible, any other material should form part of the thesis, but a student is at liberty to submit such material separately for consideration by the examiners.

75. The thesis shall be written in English except when the Research Degrees Committee has given permission for another language to be used owing to the nature of the subject. The summary should always be written in English.

76. Following recommendation by the examiners that an award be made, at least one copy of the thesis, and any additional copies as deemed necessary, shall then be submitted to the Faculty. One copy of the thesis of a successful student will be retained in the University Library and the others by the Faculty(s) and, where appropriate, by the collaborating organisation concerned. A student is advised to keep an additional copy for personal use.

77. The final, corrected thesis shall be permanently bound. The binding shall be in blue cloth and hard-backed. The Degree, the year, and the student's name shall appear on the spine. The thesis will adhere to the format in accordance with paragraph 74. A digital copy of the final thesis shall also be submitted.

78. No alterations or additions may be made to a thesis after it has been submitted except with the agreement of the examiners.

Examiners
79. The examination shall be conducted by at least two examiners, at least one of whom must be external to the University.

80. Normally, there should be one internal and one external examiner. The internal examiner will have the dual role of examining and chairing the viva voce examination unless an independent chair is appointed.

81. The examiners must have expertise in examining at the appropriate level so that they are familiar with the standards expected and the achievement likely to be attained. The appointed examiners should, between them, normally have examined a minimum of six candidates at the appropriate level; an external examiner must have experience of at least one relevant examination. Where an external examiner does not have the experience necessary, an additional external examiner shall be appointed who may

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7 In this role the internal examiner will be responsible for ensuring the proper and fair conduct of the meeting, including conformity with the Regulations. They will sign the final joint examination report to confirm that the examination took place according to the Regulations, resulting in one of the permitted outcomes by the regulations.
not hold such specialist knowledge but who could supply the necessary examination experience. This does not remove the requirement for an experienced internal examiner unless an independent chair has also been appointed and the arrangements are approved by the Research Degrees Committee.

Selection and appointment of examiners

82. The examiners shall be appointed by the Research Degrees Committee on the recommendation of the Dean of the Faculty.

External examiner nominations

83. Nominees for consideration for appointment as external examiners should normally:
   - have expertise in the area relevant to the student’s field of research and be demonstrably research active
   - hold an academic appointment [A curriculum vitae should accompany any nomination to the Research Degrees Committee]
   - have experience of examining at doctoral level; if they have not had this experience an additional external examiner should be appointed
   - not have, nor have previously had, a personal relationship with the student or member of the supervisory team
   - not have had any professional relationship with the student which may give rise to a conflict of interest (e.g. supervisory, collaborative research, co-authoring of papers)
   - not have had a significant research relationship (for example, co-authoring of numerous research outputs such as papers and conferences) with any member of the supervisory team within the last five years
   - not hold (or have held) any appointment of the University, other than that of external examiner, during the period in which the student has been registered for the degree

84. Normally, an external examiner would not examine more than three candidates of the University in any five year period without permission from the Research Degrees Committee.

Internal examiner nominations

85. Nominations for appointment of internal examiners should normally:
   - have expertise in the area relevant to the student’s field of research and be demonstrably research active
   - hold permanent academic staff appointments such as Lecturer, Senior Lecturer, Reader, Professor or Research Fellow within the Faculty. (Visiting staff and retired staff members are eligible to be examiners. In the case that they are appointed an independent Chair will also be appointed)
   - not have, nor have previously had, a personal relationship with the student
   - not have had any professional relationship with the student which may give rise to a conflict of interest (e.g. supervisory, collaborative research, co-authoring of papers)
   - internal Examiners with no previous experience of examining or chairing viva voce examinations at the University will have undergone appropriate training prior to appointment.
Independent Chairs

86. Independent Chairs will be appointed by the Research Degrees Committee in the following circumstances:

- where a student is being re-assessed upon appeal
- in cases where two external examiners are required including
  (i) where the candidate is a member of the staff of the University. This would normally apply to candidates holding permanent lectureships or research positions but not to candidates on short-term research contracts such as Research Associates;
  (ii) where the University is unable to provide an internal examiner with the appropriate subject matter expertise and a second external examiner is appointed;  
  (iii) where two external examiners are required due to lack of examining experience of the preferred subject matter expert;
- where the internal examiner has no previous experience of doctoral-level viva voce examinations in the UK;
- where the external examiner has no previous experience of the doctoral-level viva voce examinations in the UK;
- where the internal examiner does not hold a current appointment as described in paragraph 85.;
- in any other special case as determined by the Research Degrees Committee.

Criteria for the appointment of an Independent Chair

87. The Chair will be appointed by the Research Degrees Committee on the recommendation of the Dean of the Faculty.

88. The Independent Chair will:

- be internal to the University
- not have, nor have previously had, a personal relationship with the student
- not have any professional relationship with the student which may give rise to a conflict of interest (e.g. supervisory, collaborative research, co-authoring of papers)
- have experience of examining at doctoral level
- not be Emeritus or honorary staff

Examiners’ reports

89. Each examiner shall submit via the student’s Faculty an independent report on the content and style of the thesis prior to the viva voce examination.

Viva voce examination

90. The viva voce examination should normally be held not less than 30 days and not more than 90 days after submission of the thesis. Only with the approval of the Research Degrees Committee and with the written agreement of the examiners and the candidate, the viva voce examination may exceptionally be held earlier.

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8 MD examinations usually fall in this category.
91. The content of the thesis, the conduct of the examination of a student and matters related thereto shall be regarded as confidential to those taking part in the examination and to appropriate officers of the University until such time as the outcomes of the examination are agreed by the Research Degrees Committee.

92. Each appointed examiner will receive a copy of the thesis to be examined in advance of the *viva voce* examination and will prepare an independent, written report on the content and style of the thesis in advance of the examination. The reports will be submitted and considered at the *viva voce* examination.

93. The *viva voce* examination is concerned with the content of the thesis and any related matters which the examiners consider appropriate. The student should expect to be questioned by the examiners on matters including: the focus of the research, the existing literature, the methodology used, the conduct of the research, the outcomes and conclusions.

94. The *viva voce* examination shall be conducted in the presence of the examiners at the University in Guildford. Exceptionally, and subject to the approval of the Research Degrees Committee, the examination may be arranged at another venue, provided all parties, including the student, agree. Exceptionally, and subject to the approval of the Research Degrees Committee, the *viva voce* examination may take place via video-conference provided that the student is accompanied by at least one of the examiners.

95. The student’s supervisors may and would ordinarily expect to be present at the *viva voce* examination. The student may request in writing to the Dean of Faculty at the time of the thesis submission that the supervisors be present or not be present at the *viva voce* examination. Reasons need not be given. If the supervisors are present, they may only take part or comment at the invitation of the chair. If the supervisors are not present, the examiners may, in consultation with and through the chair, seek answers to questions from the supervisor before, during or after the examination.

96. No persons other than the above shall be present at or otherwise take part in the *viva voce* examination, except that the Dean of Faculty, or Head of Department at the behest of the Dean of Faculty, if not an examiner or supervisor, may be present as an observer.

**Examiners' recommendation**

97. After the examination, the examiners shall report on the *viva voce* examination, together with any reports that may have been submitted by the supervisors in response to a request by the examiners. They shall preferably present a joint report but are at liberty to present separate ones if they so wish.

98. They shall jointly make one of the following recommendations, as appropriate:

(i) that the Degree be awarded;

(ii) that the degree be awarded, subject to specified minor corrections\(^9\) being made to the thesis or portfolio to the satisfaction of the internal examiner within a period not exceeding one month;

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\(^9\) The phrase “specified, minor corrections” shall be taken to include the correction of minor corrections, minor errors of fact, typography, grammar, style, syntax and/or layout of graphs/tables etc., which would enhance the readers’ understanding of the author’s argument but which does not alter the intellectual content and reasoning of the thesis.
(iii) that the Degree be awarded, subject to specified, minor revisions\textsuperscript{10} being made to the thesis or portfolio to the satisfaction of the internal examiner within a period not exceeding six months;

(iv) that the Degree not be awarded, but that the student be permitted to submit a revised thesis, by a specified date, normally twelve months, with or without further research, and be examined with or without a further \textit{viva voce} examination;

(v) that for those students registered for the PhD or MD, that Degree not be awarded but that the Degree of Master of Philosophy be awarded, if appropriate, after specified minor corrections or minor revisions have been made to the thesis or portfolio, and if the student submits the thesis for that Degree within one month in the case of minor corrections or six months in the case of minor revisions or as otherwise agreed by the Research Degrees Committee;

(vi) that for those students registered for the PhD or MD, that Degree not be awarded but the student be permitted to submit a revised thesis, for the degree of Master of Philosophy, by a specified date, (normally twelve months), with or without further research, and be examined with or without a further \textit{viva voce} examination;

(vii) that the Degree not be awarded and with no recommendation regarding a re-submission of the thesis (normally only applicable following a re-submission).

99. If specified minor corrections or revisions are required to the thesis or portfolio, the internal examiner shall inform the student of the nature of the corrections, within 10 working days of the \textit{viva voce}, in the form of a written list.\textsuperscript{11}

100. Any corrections required to the thesis shall be completed and the thesis permanently bound within one month of receipt of the corrections and minor revisions shall be completed and the thesis permanently bound within six months of receipt of the corrections, unless the Research Degrees Committee allows a longer time.

101. The Internal Examiner shall, within 20 working days of submission of the corrected thesis, certify that any specified, minor corrections or minor revisions have been carried out satisfactorily. Where there is no internal examiner on the panel, the Chair will ask the panel to agree who will assume responsibility for certifying completion of the specified, minor corrections or revisions.

102. In the case of any resubmission, the student may be liable for additional composition and/or re-examination fees.

103. The recommendation of the examiners shall be considered by the Research Degrees Committee. If a recommendation that the Degree be not awarded is approved, the student's programme shall be terminated.

**Submission of revised thesis**

104. A student may submit a revised thesis once only, on the recommendation of the examiners and with the approval of the Research Degrees Committee.

\textsuperscript{10} “Minor revisions” are those which do not involve further supervision or any further original research. Such additions might include, for example, additional sentences, tables, paragraphs or pages but not normally additional chapters. They may additionally include specified minor corrections.

\textsuperscript{11} The examiners may indicate in general terms a need to correct grammar and/or spelling, and, in addition, may return to the student an annotated copy of the thesis or portfolio.
105. A student shall be informed in writing within 10 working days after the viva voce of the reasons for the examiners’ rejection of the original thesis, normally by being sent by the Academic Registry a Statement of Requirements prepared by the examiners listing the principal aspects of the thesis which require improvement, a copy of which will be appended to the Examination Entry Form.

106. A student may submit a revised thesis once only. The examiners shall determine the date by which the revised thesis shall be submitted, normally twelve months after the original viva voce.

107. The procedure for submitting a revised thesis shall be the same as that for submitting the original one.

108. A revised thesis shall normally be examined by the original examiners but the Research Degrees Committee may appoint other examiners. The examiners may not recommend re-submission for a second time but may make one of the following recommendations, as appropriate, and should do so within 90 days of receipt of the revised thesis:

   (i) that the Degree be awarded;
   (ii) that the degree be awarded, subject to specified minor corrections\(^\text{12}\) being made to the thesis or portfolio to the satisfaction of the internal examiner within a period not exceeding one month;
   (iii) that the Degree be awarded, subject to specified, minor revisions\(^\text{13}\) being made to the thesis or portfolio to the satisfaction of the internal examiner within a period not exceeding six months;
   (iv) that for those students registered for the PhD or MD, that Degree not be awarded but that the Degree of Master of Philosophy be awarded, if appropriate, after specified minor corrections or minor revisions have been made to the thesis or portfolio, and if the student submits the thesis for that Degree within one month in the case of minor corrections or six months in the case of minor revisions or as otherwise agreed by the Research Degrees Committee;
   (v) that the Degree not be awarded and with no recommendation regarding a re-submission of the thesis.

Disagreement between examiners

109. If the examiners are unable to agree on a recommendation, the Research Degrees Committee shall appoint an additional external examiner to review the thesis and the original examiners’ reports which will be anonymised. The additional examiner may require the student to undergo another viva voce examination. The Research Degrees Committee shall consider the reports of all examiners before reaching a decision.

\(^{12}\) The phrase “specified, minor corrections” shall be taken to include the correction of minor corrections, minor errors of fact, typography, grammar, style, syntax and/or layout of graphs/tables etc., which would enhance the readers’ understanding of the author’s argument but which does not alter the intellectual content and reasoning of the thesis.

\(^{13}\) “Minor revisions” are those which do not involve further supervision or any further original research. Such additions might include, for example, additional sentences, tables, paragraphs or pages but not normally additional chapters. They may additionally include specified minor corrections.
Copyright and access to dissertations

110. Dissemination of knowledge is one of the objectives of the University. Copies of theses accepted for the Degree of Master of Philosophy, Doctor of Philosophy or Doctor of Medicine are placed in the University Library and are available for anyone to consult. A student is therefore advised to mark the thesis as copyright. It shall, however, be a condition of acceptance of a thesis that the University Librarian be empowered to reproduce the thesis by photocopy or otherwise and to lend copies to those institutions or persons who, in the Librarian’s opinion, require them for academic purposes.

111. If the sponsoring organisation or collaborating body considers that the thesis contains matter of a confidential nature, the author may instruct the Librarian to restrict access to a thesis for a period not exceeding five years. Access to the thesis may be allowed during this period only with permission of person(s) specified by the sponsoring organisation or collaborating body. Similarly, if it is desired to seek a patent from matter in the thesis, the author may instruct the Librarian to restrict access for a period not exceeding one year. If it is desired to extend the restriction beyond the above periods, or restrict access on other grounds, application must be made by writing to the University Librarian.

Intellectual property

112. While the copyright of the thesis belongs to the author, a student is required to assign to the University or its nominee any intellectual property rights (whether patentable or otherwise) that the student is considered to have acquired resulting directly or indirectly from study at the University in return for a fair proportion of any net receipts in accordance with the terms of the University’s Intellectual Property Code. A student may, however, be subject to a specific agreement with the student’s sponsor concerning the assignment of intellectual property rights to the sponsor.

Award

113. The Degree shall be awarded to a successful student by the Research Degrees Committee on behalf of Senate. The date of the award shall be the date on which the Research Degrees Committee approves the award.

Students in debt

114. No student shall be entitled to the award of a Degree unless all fees for tuition have been paid.

Formal conferment

115. Degrees shall be formally conferred at a Congregation held for the purpose.

Degree certificate

116. After the formal conferment, each graduate shall be given a Degree Certificate. The Certificate shall either be handed to the graduate or sent through the ordinary post to the student’s address as listed in the University records. A replacement Certificate can be issued only on receipt of a written request from the graduate and on payment of the appropriate fee.

Appeals

117. The grounds for and procedures for appeals are set out in the University’s Regulations for academic appeals.