



Postgraduate Research Examination Handbook

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1. Introduction

This handbook offers a detailed overview of the examination process for Postgraduate Research (PGR) at Keele University. It is a companion document to the Keele Doctoral Academy's (KDA) PGR Handbook which covers all other aspects of a research degree at Keele, including milestones and training. All accompanying forms to both handbooks can be found [here](#) and are organised in chronological order to match the PGR lifecycle.

The handbook covers the PGR examination process in detail, from appointment of examiners and the examination itself to depositing the thesis and graduation. It is written for examiners, chairs, postgraduate researchers (PGRs) and supervisors, and should be used by all those involved with the administration processes for PGRs. PGRs and supervisors should familiarise themselves with the content of this handbook ahead of reaching the examination stage. The guidance set out in this handbook should be read in conjunction with the University's Regulations and the [Code of Practice on Postgraduate Research Degrees](#).

While it is recommended that all parties familiarise themselves with the content, the table below highlights who should read each section.

	PGR	Supervisor	Examiners	Chair
Nomination of the Examination Panel		✓		
Thesis Submission	✓	✓		
Guidance for Examiners and Chairs			✓	✓
The Oral Examination	✓	✓	✓	✓
After the Viva	✓	✓	✓	✓
PGR Fees and Expenses			✓ (external examiners only)	
Depositing a thesis in the library	✓	✓		

2. Nomination of the examination panel and approval of thesis title

This section details the first stage of the examination process which is to nominate the examination panel and seek approval for the thesis title. It sets out guidance on the procedures for nominating examiners and an Independent Chair for a research degree examination panel. The Lead Supervisor, in consultation with their PGR, must nominate the examination panel using the [Exam Panel and Thesis Title Approval Form](#). The Faculty PGR Committee will first consider the form before referring it to the Research Degrees Committee (RDC) for final approval. Lead Supervisors should submit their form to the PGR Administrator in their Faculty normally three months before their PGR's intended submission date. Examiners should be mindful of the University's [Equality Diversity and Inclusion policy](#) when appointing viva panels. This form must be submitted 12 weeks before the PGR's expected submission date.

Where references to the approval criteria applied by the Research Degrees Committee (RDC) occur, they will also apply to the relevant Faculty PGR Committee. The RDC is ultimately responsible for approving examination panels on behalf of Senate and therefore sets the institutional requirements in this area.

2.1 Approval of the thesis title

The first part of the form asks that the supervisor and PGR submit the thesis title. This will be considered by the Faculty PGR Committee and reported to the RDC (though the RDC will not scrutinise titles). The criteria are as follows:

Titles must receive approval from the Faculty's PGR Committee approximately 3 months before submission. The Committee will then report it to the Research Degrees Committee (RDC) at the same time as recommending examiners for formal approval.

Thesis titles must be no more than 20 words. For creative writing submissions where the thesis will be submitted in two parts (and therefore will have two titles), each title must be no more than 20 words.

The full title should have an initial capital and then be in lower case except where it is conventional to use capitals (e.g. proper nouns, generic and specific names of organisms). Use italics for genus and species names, and foreign language words. There is no need for a full stop at the end of the title.

The thesis title as submitted and approved must be identical to the title on the submission itself.

2.2 Approval process for the nomination of the examination panel

- 2.2.1 The Lead Supervisor of a PGR is responsible for nominating the members of an examination panel. It is recommended that this is done in consultation with the School PGR Lead. The most up-to-date list of PGR Leads can be found [here](#) on the KDA Website.
- 2.2.2 In making a decision about the nomination, the Lead Supervisor should consult both their PGR and, where appropriate, the members of the PGR's supervisory team and follow the guidance provided below in section 2.3.
- 2.2.3 To make the nomination, the Lead Supervisor must complete the [Examination Panel & Thesis Title Approval Form](#) and submit it to the PGR Administrator of their Faculty. The PGR Administrator will ensure that the Independent Chair appears on the University approved list

and the relevant Faculty PGR Committee will consider the nominations, with formal sign off required from the PGR Director in Section H of the form, before referring it to the RDC for final approval.

- 2.2.4 If the RDC declines the nomination, the Secretary of the RDC will confirm this outcome to the PGR Director, Administrator and Lead Supervisor along with the rationale for the decision. The Lead Supervisor must then make changes to the form to nominate an alternative examiner(s) and/or Chair. The amended form will follow the same approval route as outlined in **2.2.3**.
- 2.2.5 The Independent Chair will have overall responsibility for organising the viva but will be assisted by the PGR Administrator who will liaise with the PGR and examination panel to organise a suitable date, time, and location for the viva. Where a video link viva is taking place, the PGR Administrator will also set up the Teams call via a calendar link. The Chair must inform the PGR Exams Office (exams.pgr@keele.ac.uk) once a date for the examination is set.

2.3 Nomination of Examiners

- 2.3.1 The Lead Supervisor should normally nominate one External Examiner and one Internal Examiner for the panel. The Internal Examiner must not be a current or previous member of the PGR's broader supervisory team. In some circumstances, it is appropriate for two external examiners to be appointed. The criteria where the RDC would consider this is set out below.
- 2.3.2 The Research Degrees Committee applies the following criteria when considering the nomination of examiners for examination panels:

Expertise and Experience

- Examiners should be subject-specific and/or methodological experts in the research field of the PGR (with the overall panel covering specialism in both the subject and the relevant methodology/ies).
- Examiners should normally hold a qualification at least at the level of degree being examined. If this is not the case, justification must be provided in Section E of the Approval Form to substantiate the proposal and help the Research Degrees Committee to make an informed decision on the nomination.
- Internal colleagues on Honorary Contracts are eligible for proposal as Internal Examiners.
- The combined experience of the examiners must include both supervising to completion and examining both the type of degree and at the same level, either at Keele or another Higher Education Institution. Each examiner should normally have experience in supervision to completion or assessment of PGR research: the Research Degrees Committee will decline the nomination of an examiner with no experience in both areas (apart from an exceptional case of the type set out in **2.3.7**).

Collaboration

- Examiners must not be collaborators in the PGR's research. If there are previous links of this kind between the PGR and one or both examiners nominated, the PGR's Lead Supervisor must declare them in the relevant box in the examiner section of the [Examination Panel &](#)

[Thesis Title Approval Form](#) so that the Research Degrees Committee can take them into consideration. The Research Degrees Committee will likely decline the nomination of an examiner if the collaboration might result in a joint publication between the PGR and examiner proposed, or if the collaboration is on the same topic as the degree being examined.

- If examiners are not collaborators in the PGR's research but have existing connections with the PGR, the Lead Supervisor should declare them in the relevant box in the examiner section of the Examination Panel & Thesis Title Approval Form. Connections could include (i) the Internal Examiner nominated being a member of the panel which assessed the PGR at Progress Review 1 (Doctoral Progression), (ii) the Internal Examiner nominated working in the same laboratory or office as the PGR, or (iii) the examiners having existing knowledge about the PGR's research (e.g. through direct communications with the supervisor or PGR about the PGR's research). The Research Degrees Committee will take a reasoned approach to these declarations, and typically membership of the Progress Review 1 panel does not preclude an examiner from being approved as an examiner if no other contact has taken place since; if, however, the Committee has any doubts about the level of contact between the PGR and examiner(s), or the extent of the examiners' knowledge of the PGR's research, it will likely decline the nomination.
- In normal circumstances, examiners should not be active or current collaborators with the Lead Supervisor. The RDC is, however, aware of disciplinary differences in this regard, with collaboration between colleagues being common practice in some academic areas. The Lead Supervisor must declare any previous or ongoing collaboration in Section E of the Examination Panel & Thesis Title Approval Form so that the Research Degrees Committee is apprised of the situation and is better able to make a decision on the nomination.

2.3.3 If an examiner nominated has not supervised to completion and/ or has not examined at the level of the degree = the Lead Supervisor proposing the nomination should give careful thought to the overall balance of the panel. Internal examiners can be nominated without the above experience, so long as they have completed the [training provided by the KDA](#) and have been involved in another PGR assessment (such as a progression panel, or mock viva). In this scenario, the Research Degrees Committee would recommend pairing a comparatively inexperienced examiner with another examiner and Independent Chair who both have substantial experience of supervising and examining at the level of the degree. Within the panel there should be at least one examiner experienced in PGR examinations with a similar structure to UK examinations. The Lead Supervisor should add a statement to Section E of the form indicating the attempt to nominate a balanced panel in cases where one of the examiners is comparatively inexperienced. If both examiners nominated are inexperienced, the Research Degrees Committee will likely ask the Lead Supervisor to review the panel proposed and nominate a more experienced Internal or External Examiner in the interests of achieving a more suitable balance.

2.3.4 If a nominated external examiner has been employed by the University in the past five years, the Lead Supervisor proposing the nomination must provide further information in Section E of the form. The Research Degrees Committee will consider such proposals on a case-by-case basis.

- 2.3.5 In some cases, it is appropriate for a Lead Supervisor to nominate two External Examiners instead of one Internal Examiner and one External Examiner. The circumstances in which this might happen are as follows:
- The PGR is a current or previous member of academic staff of the University (this does not include PGRs employed as Graduate Teaching Assistants and Demonstrators, or those studying on Fellowships).
 - There is no internal candidate with (i) relevant subject-specific or methodological expertise to examine the thesis, and/or (ii) suitable prior experience of supervising to completion and examining at the level of the degree (see **2.3.2** above for the full criteria which nominees must meet).
 - There is no suitable internal candidate due to other reasons, e.g. personal difficulties between the PGR and that member of academic staff, or a personal/romantic relationship between the PGR and that member of academic staff.
- 2.3.6 The RDC can, in very exceptional circumstances, consider the nomination of two External Examiners alongside an Internal Examiner. This is a rare scenario and would be contingent on the Lead Supervisor making a strong case in Section E of the Examination Panel & Thesis Title Approval Form, and that case receiving the support of the PGR Director (on behalf of the Faculty PGR Committee) in Section H of the form. The nomination of three examiners could pertain in cases where, for example, an internal or external candidate is a leading researcher in a specialist field relevant to the thesis but has no prior experience of supervising to completion or examining. The third panel member should have experience in one or both areas of supervision and examining in order to provide the requisite balance. All three examiners in this scenario must write a Pre-Viva Examiner's Report and contribute to the Post-Viva Examiners' Joint Report. It should be noted this scenario places potential additional pressure on the PGR at viva.
- 2.3.7 Faculty PGR Directors and the Chair of Research Degrees Committee should not normally serve as Examiners. However, if they do and there is a complaint or appeal, a deputy PGR Director or School PGR Lead will be asked to investigate and adjudicate.
- 2.3.8 The supervisor is responsible for making preliminary contact with examiners to ask if they will be willing to act in principle. It is good practice to provide a short summary of the PGR's research to examiners along with mention of relevant methods or theories as appropriate to help them make a decision. Once agreement in principle has been gained, the supervisor should liaise with the examiners to gain the necessary information to complete the nomination form but should then have no further direct contact with them until after the examination. All communication should go through the Chair (see 1.3).

2.4 Nomination of Independent Chair

- 2.4.1 Each examination must have an Independent Chair, who manages the conduct of the oral examination and who takes no part in the examination itself. For detailed guidance on the role of the Chair, please see the section titled Guidance on the Oral Examination.
- 2.4.2 The Independent Chair must be a member of Keele academic staff. To be eligible for the role of Chair, members of staff must complete the training course for Chairs offered by the KDA.

2.4.3 The PGR Administrator in each Faculty has access to the University's approved Independent Chair list. This will help the Lead Supervisor when nominating a member of staff to be Chair of an examination panel. Lead supervisors can also consult the School PGR Lead when choosing an Independent Chair for their PGR's viva panel. As above, colleagues should be mindful of the University's Equality Diversity and Inclusion policy when appointing viva panels.

2.4.4 The Research Degrees Committee applies the following criteria when considering the nomination of Independent Chairs for examination panels:

Experience and Research Area

- The Independent Chair should have experience of examining at the level of the degree, either at Keele or at another Higher Education Institution.
- Independent Chairs should in general come from the same Faculty as the PGR. This is because the Chair, while not needing to be a subject-specific expert, should be sufficiently knowledgeable about the PGR's general research area or discipline to be able to oversee the examination. The Research Degrees Committee will consider nominations for Chairs from another Faculty where there is a clear rationale for proposing the member of staff (e.g. interdisciplinary research topic).

Eligibility

- Independent Chairs should either have completed the online training which the KDA offers (see 2.4.2 above) or commit to doing so before their first examination.
- PGR Directors and the Chair of Research Degrees Committee should not serve as Independent Chairs. If the PGR appeals the outcome of the examination, the PGR Director will need to act as an investigator and respondent to the appeal and therefore needs to be appropriately independent of the examination itself.

Declaration:

In normal circumstances, examiners and Independent Chairs should not be, or have been, in a personal or romantic relationship with the Lead Supervisor, and must not be, or have been, in a relationship of any kind with the PGR. While there is recognition that the Independent Chair does not make a recommendation of an award outcome, this person could be asked to intervene with, or advise, the examiners in the lead-up to the examination, during the examination, or following the examination.

If there is a relationship between an examiner and the Independent Chair, or a relationship between an examiner and the Lead Supervisor, the Lead Supervisor should declare the relationship in Section E of the Examination Panel & Thesis Title Approval Form so that the RDC is appraised of the facts and is better able to make a decision on the nomination.

3. Thesis Submission

3.1. Guidelines for Submission of a Postgraduate Research Thesis for Examination

This section sets out the expectations for submitting a postgraduate research thesis at Keele University. Its focus is on requirements for initial submission of a thesis (i.e. the copies submitted in preparation for the viva) or resubmission of a thesis (i.e. the copies submitted following an outcome of major corrections at the viva).

The flow diagram below charts the process of submitting a thesis for oral examination from the point the thesis title is approved to the actual process of submission.

12 Weeks Before Submission

Stage 1: The Faculty's PGR Committee **approves the thesis title** agreed between PGR and Lead Supervisor, and reports it to the RDC alongside the nomination of examiners.

1-2 Weeks Before Submission

Stage 2: PGR should contact the KDA, Academic Registry who are responsible for PGR examinations (submissions.pgr@keele.ac.uk) to notify them of their **intention to submit** the thesis.

Stage 3: PGRs prepare their Academic Honesty Declaration Form and Thesis Submission Form.

Signatures on both forms must be written or electronic (i.e. a scanned image of a written signature copied and pasted into the form).

For the Thesis Submission Form, PGRs must:

- Liaise with their Lead Supervisor to complete Sections C (and, if relevant, Section E – **see further information below**);
- Ensure that their Lead Supervisor has provided a written or electronic signature for the relevant section(s);
- Apply their own written or electronic signature to the relevant section(s).

Date of Submission

Stage 4: PGRs should email the following documents to the PGR Exams team at submissions.pgr@keele.ac.uk:

- A PDF copy of the thesis, including an abstract of no more than 300 words
- [Academic Honesty Declaration Form](#)
- [Thesis Submission Form](#)
- An optional [Covid Impact Statement](#)

3.2 Format and Layout of the Thesis – Initial Submission

This section goes through the standard format and layout for theses submitted for oral examination.

Thesis Format Requirements

3.2.1 **Thesis title** – Guidance on the title can be found in section 2.1. If the thesis title is not identical to the one which has been approved and confirmed by the Faculty (in terms of content, use of upper and lower case, italics, and punctuation), the PGR Exams Team (submissions.pgr@keele.ac.uk) will ask the PGR to provide an amended title page.

3.2.2 **Title page** – The title page must include the following items:

Title of thesis (exactly as approved, and observing the format outlined above);
Author's name (without qualifications listed);
Degree for which the thesis has been submitted;
Month and year (of thesis submission for initial submissions)
Keele University.

3.2.3 **Font Size** - Font for all text, including footnotes where used, should be no smaller than 10 point. 11- or 12-point font for the main text is advisable.

3.2.4 **Paper Size** - Theses should be on A4 (210mm X 297mm).

3.2.5 **Spacing** – Double-line spacing should be used for main text, including quotations, to provide adequate space for examiners to make annotations. Single-line spacing should be used for footnotes.

3.2.6 **Margins** - A margin of not less than 35mm must be maintained on the binding side of each page, to ensure content is not cut off if the thesis is printed. Other margins should not be less than 15mm.

3.2.7 **Printing** - Although PGRs make their initial thesis submission electronically, one or more of the examiners may request a paper copy of the thesis, and the University will cover the costs

of this (see section below titled 'Requests for paper copies by examiners'). This means that PGRs should format their thesis submission so that the thesis can be printed in the required format, as follows:

- To allow for printing double-sided, PGRs should make sure that the margin on the binding side (on opposite sides on the front and back of the page) is not less than 35mm, with other margins not less than 15mm.
- 'Mirrored' Margins can be used to set up margins for double-sided printing. This configuration, which can be set up in Microsoft Word[®] (Layout > Margins > Mirrored), is designed for documents which are double-sided.
 - The margin layout for the front side of the page (e.g. an odd-numbered page) is mirrored/flipped for the back side of the page (e.g. an even-numbered page), ensuring that the margin set for the binding side remains constant throughout the document.

- 3.2.8 **Length** - Doctoral degrees: maximum of 100,000 words
Research Masters degrees: maximum of 60,000 words

There are some variations, e.g. for Professional Doctorates. For details, see 'University Criteria for Making Research Degree Awards' (4.6).

Thesis length includes preliminary pages and footnotes but not references, appendices or tables.

- 3.2.9 **Numbering** - Preliminary pages should bear Roman numerals (i, ii, iii, etc.); principal pages must bear Arabic numerals (1, 2, 3, etc.).

- 3.2.10 **Footnotes/ Endnotes** - Using either footnotes or endnotes is acceptable. Footnotes must appear on the same page as the textual number. If a numerical referencing system is used, references and footnotes must be distinguishable or combined.

- 3.2.11 **Published works** - PGRs can include prior published works as an appendix, but the thesis itself should still contain the same amount of content as without the published works. The published works are separate and should not form part of the examination process.

3.3 Submitting a PGR Thesis – Initial Submission

Once the thesis has been formatted to enable printing, PGRs will be able to submit it in advance of the oral examination. The standard requirements for submitting a thesis at the initial submission stage are as follows:

- 3.3.1 **Intention to submit** - PGRs should email the PGR Exams Team, who are responsible for administering the PGR examination process, at submissions.pgr@keele.ac.uk approx. 1-2 weeks before they intend to submit their thesis to notify of their intention to submit. This notification email will allow the team to perform any last-minute checks and send detailed

guidance about what should be included with the submission, ensuring that the thesis is processed and sent to examiners as soon as possible once submitted.

3.3.2 What to submit

Thesis

PGRs must submit an electronic copy of their thesis, presented in accordance with the formatting requirements outlined above.

Accompanying Documentation

They must also send the following two documents:

- A completed and signed [Academic Honesty Declaration Form](#) – this form must be signed by the PGR submitting the thesis
- A completed and signed [Thesis Submission Form](#) – this form must be signed both by the PGR submitting the thesis (in Section B), and the Lead Supervisor (in Section C, and also E if the thesis contains confidential information and/or needs to be subject to an embargo on access). PGRs should be aware that their supervisor signing this form to say they are ready to submit does not in any way assume an outcome from the examination, as the examination is a separate process.
- PGRs can also submit an optional [Covid Impact Statement](#) on the designated form. This optional form allows PGRs to detail any adjustments to research plans as a result of Covid-19. The Covid Impact Statement will be sent alongside the thesis but not attached to it. No personal or confidential information should be included in the Covid Impact Statement. The statement should detail how the pandemic affected the research, and the mitigations put in place as a result.

N.B. The signatures on forms can either be written or electronic (i.e. a scanned image of the signature copied and pasted into the relevant box). **Typed signatures are not acceptable.**

3.3.3 How to submit

PGRs should submit their thesis electronically to submissions.pgr@keele.ac.uk. If a thesis exceeds 33MB in size, PGRs should email submissions.pgr@keele.ac.uk, who will set up a SharePoint folder which they can upload their thesis to.

To upload a thesis and accompanying documents to SharePoint, follow the directions below:

- Click on the link sent by submissions.pgr@keele.ac.uk
- This will link to a SharePoint folder (the folder name will be the PGR's name, in the format SURNAME Forename).
- Click 'upload' and add the thesis as a PDF to the folder. Academic honesty and thesis submission forms can either be added to this folder or attached as an email.
- PGRs should then send email confirmation to the PGR exams office (submissions.pgr@keele.ac.uk) that they have uploaded their thesis to the folder.

3.3.4 **Submission deadlines** - In general, the submission date is the registration end date and must be submitted before midnight on this date. Submissions can be made 24 hours a day, but processing will only occur during working hours. Please allow up to one working day for the PGR Exams Office to process the submission. If PGRs miss their deadline, they will continue to be charged fees at the continuation rate until the submission is complete. If the submission is more than three months overdue, the PGR's faculty PGR Committee will initiate the academic warning process. For more information, see sections 8.4 and 13.1 of the [Code of Practice](#) on Postgraduate Research Degrees.

3.3.5 **Submitting during holidays** - If the end date falls on a weekend day, bank holiday, or religious holiday, PGRs will have until 9:00 am (UK time) on the next working day to submit their thesis. If the end date falls during a period when the University is closed (e.g. between Christmas and the New Year), PGRs will have until 9:00 am on the first working day once the University re-opens to submit their thesis.

3.3.6 **Receipt of Submission**

Upon submitting the thesis to submissions.pgr@keele.ac.uk, PGRs will receive an automated response confirming the submission has reached the PGR Exams Office.

The PGR Exams Office will check the submission matches that above, and that the forms are filled in correctly.

The PGR Exams Office will check that the thesis title of the submitted thesis matches the thesis title approved by the Faculty and recorded on the student record system. If there is a discrepancy, the Exams office will contact the PGR who will be asked to submit an updated thesis featuring the correct, approved thesis title.

Finally, once checks have been completed, an electronic receipt from the PGR Exams Team will be issued to confirm that the submission has been processed. For receipts to be issued, PR3 **must** be completed and actioned by student records. For further guidance, see the [Progress Review Handbook](#).

3.3.7 **Requests for paper copies by examiners**

When the PGR Exams Team distributes the thesis to the examiners, they will make clear that the default expectation is for them to read the thesis and discuss it at the oral examination (viva) in an electronic format. However, for a range of reasons (including accessibility and disability considerations which make screen reading difficult), some examiners will prefer or need to work from a paper version. Examiners will therefore have the option to request a paper copy.

If one or both of the examiners request a paper copy of the thesis, PGRs do **not** need to cover the cost of printing and binding the copy/ies. The PGR Exams Team will make the required arrangements on the PGR's behalf, and the School will pay for the printing and binding.

If PGRs want to print (and bind) a personal copy of their thesis to take into the viva, they will need to order and cover the cost of this themselves. This can be done at the [SU Print and Copy Shop](#).

3.3.8 Resubmission specific requirements

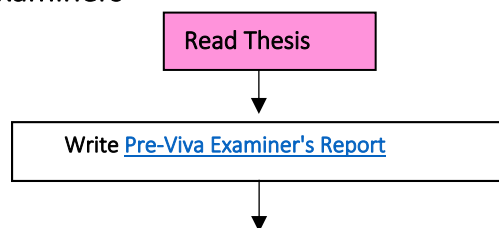
If PGRs are resubmitting their thesis, they must pay the resubmission fee of £300 to the Income Office in the Tawney Building prior to resubmission. Proof of payment must be presented with the resubmission.

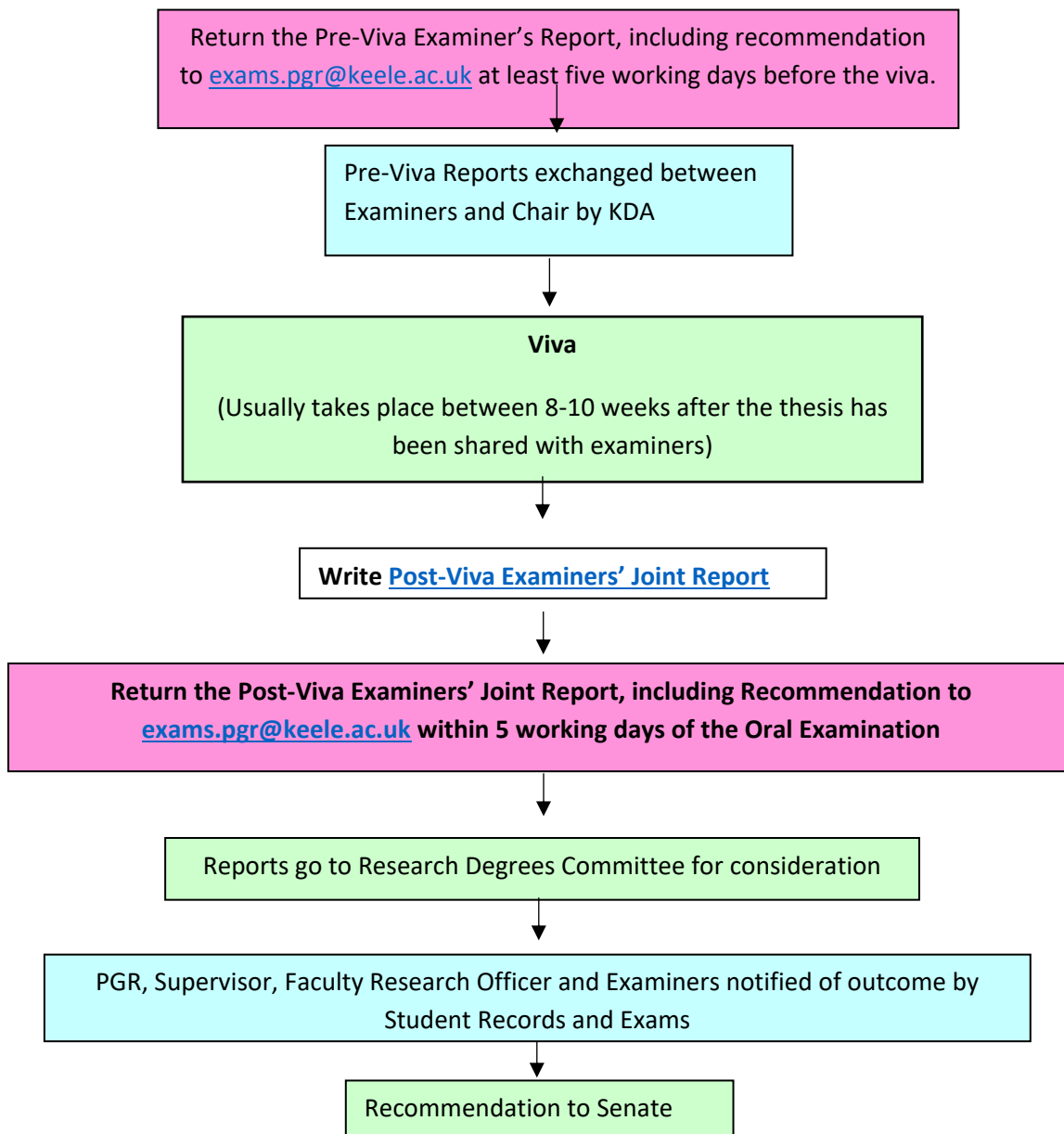
COVID-19: During the exceptional circumstances caused by the COVID-19 Pandemic, the KDA have decided to offer delayed payments for resubmission fees. If a PGR would like to delay the payment, then they will need to let the Exams team know when they resubmit the thesis. The Exams team will then contact the income office, who will make a note of the outstanding payment and while the examination process will go ahead as usual, PGRs will not receive their certificate until the resubmission fee has been made in full.

4. Guidance for Examiners and Chairs

This section sets out the expectations and timescales for examiners and chairs, though PGRs and supervisors should also familiarise themselves with the content, because it details the assessment criteria, recommendations, and the format for examiners' reports.

4.1 Short Guidance for Examiners





4.2 Format for Examiners Reports

- 4.2.1 On submission of the thesis by the candidate, each examiner will be sent a copy of the thesis together with a request for a report on the thesis.
- 4.2.2 Examiners' reports will be in two parts: **(1)** the [Pre-Viva Examiner's Report Form](#), which each examiner completes on an individual basis; and **(2)** the [Post-Viva Examiners' Joint](#)

[Report Form](#), which both examiners complete together once the PGR's oral examination has taken place. The individual Pre-Viva Reports will be written on consideration of the thesis alone; the joint Post-Viva Report will be written after consultation with the other examiner(s) and after the oral examination. In addition, immediately after the oral examination the examiners will sign a joint coversheet with their recommendation.

4.2.3 The Pre-Viva Report should be written after consideration of the thesis, and should include the following:

- Any suspicions about academic malpractice, or other doubts about the veracity of the PGR's Academic Honesty Declaration Form;
- Comments on the presentation, style, and general arrangement of the thesis, and whether it is of a satisfactory standard for the level of the degree;
- Comments on whether the PGR has demonstrated broad knowledge and understanding of their discipline and associated research techniques;
- Comments on whether the thesis represents a significant contribution to development of understanding and, if appropriate, to the subject field by containing matter worthy of publication;
- Comments on the reasoning for the examiner's preliminary recommendation, referring to the standards required for an award at doctoral and masters level as set out in [Regulation C10](#) (or [Regulation C9](#) for Professional Doctorate Routes) and [Chapter B11: Research Degrees](#) in the QAA UK Quality Code for Higher Education;
- A list of specific areas to be explored in the viva.
- A preliminary decision on the recommended outcome for the examination.

4.2.4 The Pre-Viva Report should be sent to the PGR Exams Office in the Keele Doctoral Academy (exams.pgr@keele.ac.uk) no later than 5 working days before the oral examination. The KDA will ensure that a copy of each report is sent to the other examiner(s) prior to the oral examination.

4.2.5 The Post-Viva Report should be written jointly by the examiners after the oral examination, and should include the following:

- Any suspicions about academic malpractice, or other doubts about the veracity of the PGR's Academic Honesty Declaration Form;
- Comments on the quality and presentation of the thesis;
- Comments on the extent to which the thesis contains material of publishable quality;
- Comments on whether the PGR demonstrated broad knowledge of their discipline, and associated research techniques, both within the thesis and during the oral examination;
- Comments on how well the PGR responded to any issues which the examiner(s) raised in their Pre-Viva Report – addressing in particular any discrepancies between the Pre- and Post-Viva Reports in this respect;
- Comments on the performance of the PGR and the procedural conduct of the oral examination;
- Confirmation whether the viva was held online or in-person, including where the viva was held online no technical issues occurred that had a bearing on the

outcome;

- Comments on the reasoning for the examiners' joint recommendation, referring to the standards required for an award at doctoral and masters level as set out in in [Regulation C9](#) or [C10](#) and [Chapter B11: Research Degrees](#) in the QAA UK Quality Code for Higher Education.
- Where corrections are recommended, examiners should either send a list detailing the corrections as part of the form, as a separate document, or an annotated copy of the thesis to exams.pgr@keele.ac.uk. These corrections will be shared with the PGR prior to the outcome being formally approved and will allow PGRs to make a start on work as soon as possible after the viva. The corrections should be clear and detailed to ensure the PGR can make amendments easily.
- When recommendation 2 is being used, the normal expectation is that corrections will be completed within 6 months. Where **substantial corrections** are anticipated, examiners are asked to ensure they have considered recommendation 3.
- Where the examiners have recommended minor corrections, they should share the post-viva report with the PGR, informing them that the reports are provisional until approved by the Research Degrees Committee.

4.2.6 The Post-Viva Report should normally be sent to the PGR Exams Office in the KDA (exams.pgr@keele.ac.uk) within 5 working days of the oral examination, together with a list of corrections or annotated eThesis where required. It bears the final recommendation as well as the signatures of the examination panel.

4.2.7 Pre-viva reports must be typed, dated and signed by the examiner and post-viva reports must be signed and dated by both examiners and the independent chair.

4.2.8 Examiners' reports are not confidential, and copies will be sent to PGRs and supervisors on completion of the examination process.

4.2.9 In some circumstances, examiners may decide to run the thesis through Turnitin (plagiarism detection software). The University reserves the right to do this. This can only be done once for a submission, including if the PGR has resubmitted.

4.3 Recommendations Available to Examiners of Research Degrees

There are seven possible recommendations available to examiners of a research degree thesis. Some of the recommendations may not be available for all candidates, as indicated below.

Recommendation 1	The candidate be awarded the degree for which they have made a submission.
Guidance	This is appropriate if the thesis is acceptable, and the PGR satisfies the examiners in all other parts of the examination. A recommendation 1 can be awarded if there are a small number of typographical errors in the thesis (an indicative maximum of 2 pages) that can be rapidly completed and do not require sign-off by the examiners.

<p>Recommendation 2</p> <p>Guidance</p>	<p>The candidate be awarded the degree for which they have made a submission once revisions have been made to the thesis to the satisfaction of the examiner(s) named.</p> <p>This is the appropriate recommendation where the thesis is sound and virtually complete in terms of its aims methods, results, interpretation, and conclusions, but has some errors, or is poorly assembled or presented. The required versions fall typically within the following categories and should not require re-working or reinterpretation of the intellectual content of the thesis: • Typographical errors •Grammatical errors •Checking and correct references •Presentation of bibliographical data •Improving aspects of figures e.g. labelling, quality of reproduction) • Some additional material is required •Revisions to interpretation of data, results, conclusions •Slight reorganisation of material •Minor rewriting of the text. The normal expectation is that the revisions will be completed within 6 months, taking into consideration that a PGR may not be able to commit the full working week to their corrections</p>
<p>Recommendation 3</p> <p>Guidance</p>	<p>[Only for original submissions, not for re-submissions.]</p> <p>Although the required standard of the award for which the candidate has submitted has not been met, the submission is of sufficient merit to justify the candidate being permitted to re-present the thesis within one calendar year from the date of the decision at the relevant meeting of the Research Degrees Committee.</p> <p>Resubmission is the appropriate recommendation where the thesis is unsound or incomplete in terms of its aims, methods, results, interpretation or conclusions. Substantial additional work is required which may lead to a significant change in the results, interpretation and conclusions. The required revisions fall typically within the following categories: •Reinterpretation of the data (including background literature) •Collection of new data or additional research to be carried out •Substantial rewriting of the text •Substantial additional material to be incorporated within the text •Substantial revisions to results and/or conclusions •Thorough revision of presentational matters which require significant editing.</p> <p>Resubmissions will be re-examined by both examiners. Following the resubmission of a thesis, a second oral examination is at the discretion of the examiners and should be indicated in Section C of their preliminary report.</p>
<p>Recommendation 4</p> <p>Guidance</p>	<p>[Only for doctoral candidates, not for Masters candidates.]</p> <p>The candidate should be approved for a Masters level award, not a Doctoral level award. The required standard for a Doctoral level award has not been met, and the submission is of insufficient merit to justify permission to resubmit. However, the candidate should be approved for a Masters level award (with or without minor corrections).</p> <p>This is appropriate if, after completion of the whole examination process, the examiners determine that the PGR has not reached the standard required for the award of a Doctoral degree nor for re-presentation of the thesis in a revised form, and that the examiners determine that the PGR</p>

	has reached the standard required for the award of a Masters degree, subject to any minor amendments which may be required.
<p>Recommendation 5</p> <p>Guidance</p>	<p>[Only for original submissions by Doctoral candidates, not for re-submissions, nor for Masters candidates.]</p> <p>The required standard for a Doctoral level award has not been met, and the submission is of insufficient merit to justify the award of a Doctoral degree. However, the candidate should be permitted to re-present the thesis for the award of a Masters degree, and to submit to a further oral examination, within one calendar year from the date of the decision at the relevant meeting of Senate.</p> <p>This is appropriate if after completion of the whole examination process, the examiners determine that the PGR has not reached the standard required for the award of a Doctoral degree nor for re-presentation of the thesis in a revised form for a Doctoral award. However, the submission, though unsatisfactory, contains sufficient merit and potential for the examiners to recommend that the PGR be permitted to re-present the thesis in a revised form for a Masters award. Following resubmission of the thesis, the oral examination is at the discretion of the examiners.</p>
<p>Recommendation 6</p> <p>Guidance</p>	<p>The candidate should not be awarded any degree, nor be permitted to re-present the thesis, nor submit to any further examination.</p> <p>This is appropriate if, after completion of the whole examination process, the examiners determine that the PGR has not satisfied the conditions for the award of a research degree and should not be allowed to re-present the thesis nor to submit to any further examination.</p>
<p>Recommendation 7</p> <p>Guidance</p>	<p>The examiners are unable to come to a joint recommendation and an additional examiner or examiners should be appointed whose decision shall resolve the matter.</p> <p>This is appropriate if, after completion of the whole examination process, the examiners cannot come to an agreed view about the appropriate recommendation. Appointment of additional examiners will need to go through the same process as the initial appointment of examiners. A second viva will be at the discretion of the examiners.</p>

4.4 Short Guidance for Independent Chairs

Read Abstract

Viva

The Role of the Independent Chair is as follows:

- Ensure that the pre-viva examiner reports have been shared and discussed by the examiners before the start of the viva.
- To ensure that the appropriate tone and environment are created and maintained e.g. to ensure the oral examination is conducted in a non-intimidating way, reassuring the PGR, putting them at their ease, and minimising the inevitable stress of the occasion
- To ensure that PGRs are treated with respect, courtesy, and understanding.
- To ensure, at the outset that the PGR understands the purpose of the oral examination, introduce the examiners, and outline for the student the way the examination will be conducted.
- To inform the PGR that no information about recommended outcomes will be provided until the end of the viva, and that no conclusions should be drawn about this.
- To ensure that the PGR understands that the examiners' recommendation is subject to the Research Degrees Committee and Senate approval.
- To ensure that questioning is not excessively protracted and keeps to the key purpose of the examination.
- At the end of the oral examination, to ask the PGR to leave the room while the examiners reach a definitive conclusion about the recommended outcome of the examination process.
- To ensure that the examiners' recommendation is conveyed and explained to the PGR AND the PGR fully understands the rationale behind the recommendation.
- The role of the chair does not involve contributing questions to the examination, nor providing an opinion on the recommended outcome.

Request Examiners write Post-Viva Examiners' Joint Report within 5 working days of the viva

Return to exams.pgr@keele.ac.uk

The Independent Chair will ensure that the PGR receives a list of corrections or an annotated copy of the thesis at the end of the oral examination, via email or in person.

Reports go to Research Degrees Committee for consideration

PGR, Supervisor, Faculty Research Office and Examiners notified of outcome by Student Records and Exams

Recommendation to Senate

4.5 University Criteria for Making Research Degree Awards at Doctoral and Masters Level

Keele University wishes to ensure that its awards are made at the recognisable national standard, and subscribes to the descriptions of learning outcomes required at doctoral and masters level as set out by the Quality Assurance Agency in August 2008 (The framework for higher education qualifications in England, Wales and Northern Ireland, now incorporated as part of Part A of the [UK Quality Code for Higher Education](#)). Examiners should use the following criteria when deciding whether candidates for research degrees have met the requirements for an award.

Doctoral Level

D1 For all awards to be made at Doctoral level (PhD, EdD, DBA, DM, MD, DPsych, DPharm, DSW, DCOUNS, DCRIM, DEDHEALTH, DHSCI, DHSCIMEDIMA, DHSCIPHYSIO, DMID, DNURSING, DPH, DSC), PGRs must achieve the required learning outcomes:

Doctorates are awarded to PGRs who have demonstrated:

- a) 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 potential publication;
- b) 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;
- c) 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;
- d) a detailed understanding of applicable techniques for research and advanced academic enquiry;
 1. [professional doctorate PGRs only] competence in independent work, professional activity or experimentation, of understanding of the appropriate techniques, and of competence in making critical use of published work and source materials. The thesis shall be a major contribution to the creation and interpretation of new knowledge (see also section D5)

D2 For the award of PhD, the thesis shall be no longer than 100,000 words (to include main text and footnotes but not references and appendices). Although there is no lower word limit for thesis length, the thesis must be long enough to explore the subject in sufficient depth and breadth to fulfil the requirements for the degree. Clarity and succinctness of expression is valued. The literary style and presentation of the thesis should be satisfactory. The PhD candidate will be required to satisfy the Senate that it affords evidence of originality, shown either by the discovery of new facts or by the exercise of independent critical power. For the award of a professional doctorate, the thesis shall be of a length prescribed in the programme regulations which will normally be between 60,000 and 75,000 words (to include main text and footnotes but not references and appendices). Although there is no lower word limit for thesis length, the thesis must be long enough to explore the subject in sufficient depth and breadth to fulfil the requirements for the degree. Clarity and succinctness of expression is valued. The literary style and presentation of the thesis should be satisfactory. The professional doctorate candidate will be required to satisfy the Senate that it contains evidence of originality, shown either by the discovery of new facts or by the exercise of independent critical power (see also section D5).

D3 Musical Composition

A candidate in musical composition is required to submit a folio of original compositions, in the form of scores or, in the case of electronic music, recordings (or equivalent) on appropriate media. A written introduction is also required, which covers all the works submitted, giving background information as well as details relating to aesthetic and technical concerns.

Where part of a candidate's research has included the production of original software or other tools which have assisted the realisation of the portfolio then these may also form part of the submission. Alternatively, and particularly where the compositions or other musical examples are mainly illustrative of the capability of such tools, then the candidate should submit under regulation D1. Wherever possible, the appropriate submission pathway should be determined at the outset with the supervisor.

For submissions consisting solely of musical compositions the following guidelines will apply:

- A folio should either consist of several compositions, of which at least three shall be considered substantial by the examiners by virtue of content (e.g. in terms of scale, duration, original techniques or use of authored software tools) OR a single large-scale work such as an opera;
- a) In musical composition a candidate will be required to satisfy the Senate that the submission shows clear evidence of creative ability and academic competence and represents an original and significant contribution to the art of music. Also, that instruments and voices are written for within their capabilities, and that performing instructions and layout are accurate in detail.

D4 Creative Practice

A candidate wishing to combine academic and creative research may, instead of a thesis, submit all three of the following:

- b) a substantial body of creative work which has been documented and recorded by means appropriate for the purposes of examination and eventual deposit in the University Library;
- c) an accompanying thesis of no more than 50,000 words showing clear evidence of academic competence, an awareness of the current critical context in which the creative work has been produced and an original contribution to research into the relationship between history and/or theory and practice;
- d) a selection of work, referred to under (a) suitable for exhibition.

D5 Professional and Taught Doctorates

Professional and other taught doctorates have Programme Regulations which set out the formal structure of the course including cohort work and research training, and any forms of interim and summative assessment, as well as any additional entry requirements. In addition to the thesis (see D2 above), candidates will have been formally assessed (through in-course assessment or written examination or both) on the taught elements of their doctoral Programme of Study, as set out in the Programme Regulations.

The examiners will, in particular, be looking for a candidate's competence in independent work, professional activity or experimentation, of understanding of the appropriate techniques, and of competence in making critical use of published work and source materials. The thesis shall be a major

contribution to the creation and interpretation of new knowledge as applied to the candidate's professional area.

D6 **Doctoral Degree by Publication**

Candidates for the degree of PhD by Publication shall be required to meet the same standards of award as candidates for the PhD by supervision, as set out in this section. Candidates wishing to submit for a doctoral degree by publication will have produced a significant body of published work prior to enrolment at the University. The enrolment period for which tuition fees will be due will typically be no more than 12 months (part-time) prior to submission to produce the critical commentary.

There is a requirement for an oral examination which can only be waived in exceptional circumstances with agreement of the Research Degrees Committee. The criteria to be applied in the examination of a doctorate by publication are those set out in D1 above.

Recommendations available to examiners of research degrees are set out in Regulation C10 (13.7 (d)). No resubmissions will be permitted, and any minor revisions may relate only to the critical commentary.

Masters Level

M1 For an award to be made at Masters level (MPhil) PGRs must achieve the required learning outcomes:

Masters degrees are awarded to PGRs who have demonstrated:

- a) a systematic understanding of knowledge, and a critical awareness of current problems and/or new insights, much of which is at, or informed by, the forefront of their academic discipline, field of study, or area of professional practice;
 - b) a comprehensive understanding of techniques applicable to their own research or advanced scholarship;
 - c) originality in the application of knowledge, together with a practical understanding of how established techniques of research and enquiry are used to create and interpret knowledge in the discipline;
- II. conceptual understanding that enables the PGR:
- to evaluate critically current research and advanced scholarship in the discipline; and
 - to evaluate methodologies and develop critiques of them and, where appropriate, to propose new hypotheses.

M2 The thesis shall be no longer than 60,000 words (to include main text and footnotes but not references and appendices). Although there is no lower word limit for thesis length, the thesis must be long enough to explore the subject in sufficient depth and breadth to fulfil the requirements for the degree. Clarity and succinctness of expression is valued. The literary style and presentation of the thesis should be satisfactory. The candidate will be required to satisfy the Senate of competence in independent work or experimentation, of understanding of the appropriate techniques, and of competence in making critical use of published work and source materials. The thesis shall normally consist of a critical review of the field of research together with some new results but may, if approved by the Senate, take the form of a critical review only.

M3 **Musical Composition**

A candidate in musical composition is required to submit a folio of original compositions, in the form of scores, or, in the case of electronic music, recordings (or equivalent) on appropriate media. A written introduction is also required, which covers all the works submitted, giving background information as well as details relating to aesthetic and technical concerns.

Where part of a candidate's research has included the production of original software or other tools which have assisted the realisation of the portfolio, these may also form part of the submission. Alternatively, and particularly where the compositions or other musical examples are mainly illustrative of the capability of such tools, the candidate should submit under M1 above. Wherever possible, the appropriate submission pathway should be determined at the outset with the supervisor.

For submissions consisting solely of musical compositions, the following guidelines will apply:

The submission should either consist of up to three contrasted pieces of music of moderate substance and/or length or a single extended work. In musical composition a candidate will be required to satisfy Senate that the submission shows clear evidence of creative ability and academic competence as well as representing an original and significant contribution to the art of music. Instruments and voices used should be written for within the candidate's capabilities and performing instructions and layout must be accurate in detail.

M4 Creative Practice

Instead of a thesis, candidates may submit all three of the following:

- a) a body of creative work which has been documented and recorded by means appropriate for the purposes of examination and eventual deposit in the University Library
- b) an accompanying thesis of no more than 30,000 words showing clear evidence of academic competence and awareness of the current critical context in which the creative work has been produced
- c) a selection of work referred to under (a) suitable for exhibition

The proposed submission must be approved at the start of the course by the Director of the relevant Faculty Research Office/School.

4.6 Covid-19 Examiners Guidance

Covid-19 and doctoral examinations – additional guidance for examiners

Covid-19 may have required candidates to make considerable adjustments to their research plans and activities which may have led to compromises in proxies for doctoral or Masters outcomes such as quantity of work or publications. However, theses should be written and presented in a manner that enables examiners to directly address the extent to which the relevant outcomes have been met.

Achievement of the relevant outcomes may be demonstrated in different ways than under 'normal' circumstances, without compromising on the quality of the research and advanced scholarship. For instance, quantity of empirical research may be compensated for by substantial amounts of advanced scholarship. This can include community engagement, knowledge transfer and professional practice, as well as discipline-based research. Advanced scholarship can be described as the critical reinterpretation, application and/or transfer of existing knowledge. For the doctoral outcome of originality, in addition to

generating new knowledge, this can include: applying original processes to specific research questions; creating new syntheses to create a new concepts or hypotheses; exploring new implications of previous findings in light of new information; revisiting a current issue or debate from a different perspective or context; replication of earlier work in a different context, or presenting research in a novel way. Examiners are asked to fully recognise these alternative approaches as equally valid and valuable contributions.

As an examining team, please discuss the key quality indicators, such as originality, quality sufficient to satisfy peer review and of a standard that could potentially be published, and the acquisition of sufficient depth and breadth of knowledge and understanding at the forefront of the discipline. This should enable you to plan the viva voce examination with a focus on further exploration of any areas in which outcomes may not appear to be met on reading of the thesis.

PGRs submitting after 19 February 2021 have been advised they can include an optional form of mitigating circumstance for consideration through the examination process. The Covid impact statement provides an opportunity to detail how PGRs have adjusted their research activities in response to Covid-19. This information will be provided to you if submitted and should contribute to your assessment of the specific outcomes.

When considering any further requirements of the candidate, in particular additional work to meet the key outcomes of quality, please consider these carefully to ensure they are appropriate and achievable under current constraints, which may include restrictions of access to facilities, research spaces, and research materials. In particular, as opposed to generation of additional data, please consider alternative work, such as further scholarship, demonstrable increased / deeper understanding of relevant knowledge, or alternative ways of demonstrating project design and implementation, depending on the areas in which outcomes are not met.

4.7 Resubmission Guidance

If in the first submission a recommendation 3 (PhD) or 5 (MPhil) was awarded, meaning that the PGR is given 12 months to resubmit their thesis, the amended thesis will be sent to both examiners and the Chair will be notified of the submission. Once received, examiners will have three months to complete the examination process, whereby all forms should have been received by the PGR Exams Office. Examiners should first complete their [Preliminary Report Form](#), and state whether they require a second viva to be conducted. If no viva is requested, the reports will be exchanged by the Examinations office (exams.pgr@keele.ac.uk), and the examiners will then be asked to complete their [Joint Report Form](#) before the end of the three-month deadline. It will be the Chair's responsibility to ensure that this is submitted in good time. If a viva is requested, then the Chair alongside the faculty PGR Administrator will set up a viva date. The examiners will then be required to complete their joint report within five working days of the viva date. The reports will go to the Research Degrees Committee for approval. **External examiners should ensure they notify the exams office (exams.pgr@keele.ac.uk) of any changes to situation or contact details between the initial submission and resubmission.**

When a PGR resubmits their thesis, the examiners will have the following options for their preliminary and joint reports (see section 4.3 for further guidance):

Recommendation 1 – award the degree with no amendments

Recommendation 2 – award the degree, once revisions have been made to the thesis to the satisfaction of the examiner(s) named

Recommendation 4 (doctoral candidates only) – a: award an MPhil degree with no amendments b: award an MPhil degree once revisions have been made to the thesis to the satisfaction of the examiner(s) named.

Recommendation 6- The PGR should not be awarded any degree

Recommendation 7 – The examiners cannot come to a decision and an independent adjudicator will be appointed.

5. The Oral Examination

All PGRs, whether doctoral or masters PGRs, will be required to take part in an oral examination (also known as ‘viva’ or ‘viva voce’). The oral examination is the culmination of a PGR’s research degree examination and takes the form of a verbal defence of their thesis.

Once the thesis has been submitted, and shared with the examiners, the Independent Chair alongside members of the Faculty Administration Team will contact the PGR and examiners regarding the date and location of the oral examination. The purpose of the viva is to evaluate whether the PGR has met the standards for the award (see the 'University Criteria for Research Degree Awards' in section 4.6 of this handbook).

Where the viva is for a professional doctorate, the Independent Chair will ensure that the examiners are aware their questioning should reflect the application of the research to professional practice. A thesis for a professional doctorate award will primarily focus on the application of the research to professional practice but should also have robust theoretical underpinning and methodological concepts.

In general, the viva is scheduled to commence between 8 and 10 weeks after a PGR submits their thesis. This date can be sooner or later and depends in part on the availability of the examiners appointed.

Vivas can either take place on campus with the PGR, chair and examiners present in the same room, or remotely where all parties attend via their own separate video link. Hybrid vivas are not permitted under any circumstances. Where in-person vivas are scheduled, all members should have appropriate IT set ups available either at home or on Campus in case one or more members cannot attend in person. All members should confirm to the Chair no later than 5pm on the day before the examination that they are available to attend the examination in-situ. Where one or more members cannot attend, the Chair will relay this to the rest of the panel and the viva will go ahead by video link.

5.1 Oral Examination Procedures

This section sets out the procedures for the conduct of the oral examination and suggests ways in which participants should prepare for it.

5.1.1 Aims and objectives of the Oral Examination

5.1.1.1 The oral examination is an integral part of the examination process, and so its aim is **to evaluate whether the candidate has met the standards for the award.**

5.1.1.2 Within the examination process, the oral examination has the following objectives:

- to confirm or revise the examiner's initial views about the standard of the PGR's research, based on the thesis;
- to identify and discuss any amendments to the thesis which may be required to meet the standard for the award;
- to determine as far as possible whether the Academic Honesty Declaration Form made by the PGR on submission of the thesis is true.

5.1.1.3 These objectives will be achieved through the examiners discussing the research and the thesis with the PGR, to gain clarification, probe background knowledge, and assure themselves of the PGR's full understanding of the relevant issues. In particular the examiners may wish to elicit information on the following issues:

- explanation of the structure of the thesis;
- justification of the inclusion or exclusion of material;
- explanation for and justification of the use of particular research methods and techniques;
- defence of the originality of the thesis, and how it relates to the work of others
- clarification of any points of ambiguity within the thesis;
- justification for the conceptual approach taken in the thesis;
- the depth of knowledge of the contextual background to the subject of the thesis.

5.1.1.4 While it is recognised that apparently minor errors may conceal more fundamental problems, in general the purpose of the oral examination is not to identify and question the candidate on minor errors or amendments. Examiners should normally present to the PGR a list of such amendments required at the end of the examination and incorporate them into the Post-Viva Examiners' Joint Report.

5.1.1.5 The final recommendation will be made on the basis of the total examination process with the examiners having formed a view about whether the PGR has achieved the standards required for the award. If amendments to the thesis are required to reflect their judgement about the PGR's achievements, this should be reflected in the recommendation made, and guidance about revisions given in the Post-Viva Report.

Note: Where research programmes approved by Senate incorporate a taught or professional element PGRs may, in addition, be required to complete and pass an approved course of study and assessment before the final award can be made.

5.1.2 Preparing for the Oral Examination – Examiners

5.1.2.1 **Organisation of the oral examination:** The arrangements for the oral examination will be made through the faculties. The Independent Chair is responsible for organising the viva, with support from the PGR Administrator and must ensure that all parties (both examiners and PGR) are included in the process and are involved in the decision relating to the date, time and place of the viva. If any additional facilities are needed for the examination these must be identified by the examiners in advance and organised through the faculty. Where examiners require the PGR to prepare anything extra for the viva such as a presentation, this should be made known to the Chair at the earliest opportunity who will then feed back to the PGR so that they have adequate time to prepare. Where the request is made close to the viva, the Chair will decide whether the request is reasonable and if enough time has been provided. No contact between the PGR and examiners should take place prior to the viva. For oral examinations via video link, see the section titled [Oral Examinations by Video Link](#) below.

5.1.2.2 **Planning the examination:** The Independent Chair should arrange to meet (or otherwise communicate with) the examiners, prior to the oral examination, to discuss how they will conduct the examination. In particular, they will consider which key issues they wish to address and how they will organise the discussion.

5.1.2.3 **Notice of additional requirements:** In the majority of subject disciplines the examination will normally take the form of oral discussion only. In cases where the examiners wish to request a presentation or demonstration by the candidate the examiners must notify the Independent Chair of their requirements and the PGR must be notified by the Independent Chair of such a request at least two weeks in advance of the oral examination, together with a statement about the intended purpose.

5.1.3 Preparing for the Oral Examination – PGRs

5.1.3.1 PGRs should remain engaged with their research material during the months prior to the oral examination by, for example, re-reading their written submission, giving talks on their research, or preparing material for publication, as appropriate. PGRs should also continue reading new relevant material as it is published. Because examiners will assess whether they believe the work to be that of the PGR's, familiarity with their submitted work is essential.

5.1.3.2 PGRs should ensure that they know their thesis thoroughly, and have a clear understanding of, and can articulate briefly, the key points which are important and new in the research. They should be able to respond to questions which address the issues listed above.

5.1.3.3 PGRs should ensure that they have read and understood this guidance on the examination process.

5.1.3.4 PGRs should preferably have undertaken some form of training or practice in the oral examination, such as the session provided in the University's Research Training programme, and a mock viva.

5.1.3.5 PGRs must not communicate directly with the examiners about the thesis or its assessment.

5.1.3.6 PGRs may wish to take it upon themselves to listen to talks or lectures given by their examiners, particularly their external examiner(s), to familiarise themselves with the examiners ahead of their viva voce examination

5.1.3.7 It is important for PGRs to familiarise themselves with the contents of their thesis and prepare to address questions in the following areas:

- Explanation of the structure of the thesis
- Justification for the inclusion or exclusion of material
- Explanation for and justification of the use of research methods and techniques
- Defence of the original contribution of knowledge, or new application of existing research, the thesis makes to the research field and how it relates to the work of others
- Clarification of any points of ambiguity within the thesis
- Justification for the conceptual approach taken in the thesis
- The depth of knowledge of the contextual background to the subject of the thesis.

5.1.3.8 If reasonable adjustments are required, it is the responsibility of the PGR to notify Disability Support at the earliest opportunity. The disability support officer will work with the PGR, supervisor and (where necessary) the PGR Director to decide upon a fair way of conducting the examination, which doesn't disadvantage the PGR, while maintaining compliance with University regulations. Advice can also be sought from the Chair of the Research Degrees Committee should there be concerns over the viva being compliant with Keele processes. The PGR Exams Team will be notified by the Supervisor and will ensure the examiners and Chair receive clear instructions on how the viva should be conducted.

5.1.4 Conduct of the Oral Examination

5.1.4.1 The oral examination of the PGR will be carried out by both (or all) examiners, with the Independent Chair governing the conduct of the examination. The normal expectation is that no other persons will be present. However, if all parties agree, Supervisors may be present as observers. Where Supervisors are not present it is expected they will be available for consultation if the examiners wish.

5.1.4.2 It is the role of the Independent Chair ensure that the appropriate tone and environment are created and maintained. The oral examination should be conducted in a non-intimidating way, reassuring the PGRs, putting them at their ease, and minimising the inevitable stress of the occasion. PGRs should be treated with respect, courtesy, and understanding.

5.1.4.3 The Independent Chair should ensure, at the outset, that the PGR understands the purpose of the oral examination, introduce the examiners, and outline for the PGR the way the examination will be conducted. In addition, the Independent Chair should inform the PGR that no information about outcomes will be provided until the end of the examination, and that no conclusions should be drawn about this. The Independent Chair should refer to this guidance as being the document which governs the conduct of the oral examination.

5.1.4.4 The oral examination will be in the form of discussion, question, and answer. Unless notified in advance (see 9 above) the examiners may not request any other activity such as a presentation or demonstration. The Independent Chair should ensure that questioning is not excessively protracted and keeps to the key purpose of the oral examination.

- 5.1.4.5 An oral examination will normally last for at least one hour, and rarely more than two hours. The Independent Chair has overall responsibility for ensuring that oral examinations do not unnecessarily run over two hours. If it is necessary for the examination to last for more than two hours, the Chair will ensure that the PGR is offered a break.
- 5.1.4.6 At the end of the oral examination, the Independent Chair will ask the PGR to leave the room while the examiners reach a definitive conclusion about the outcome of the examination process. The decision should be reached as quickly as possible to minimise unnecessary stress. Informal in person discussions between the PGR and examiners can take place directly following the viva, so long as this takes place after the recommendation has been decided and communicated to the PGR and therefore has no bearing on the recommended outcome or in the post-viva report. Examiners and PGRs should not discuss corrections beyond this point, though PGRs or supervisors can contact the chair to ask for clarification on corrections upon receiving the approved set of reports from Student Records.
- 5.1.4.7 The Independent Chair of the oral examination has the responsibility for the conduct of the oral examination at Keele. It must be made clear to the PGR that the Research Degrees Committee may not always confirm the examiners' recommendations. (Where recommendations do not appear to be fully justified by the reports, they may be referred back to the examiners by Research Degrees Committee.)
- 5.1.4.8 On completion of the oral examination, examiners should indicate to the PGR what amendments and corrections to the thesis are required, if any. They are asked to return a list of corrections and amendments to the KDA (at exams.pgr@keele.ac.uk) as part of their Post-Viva Report, and to provide a copy of this along with the post-viva report to the PGR. While undertaking any corrections, PGRs should not liaise with the examiners, and corrections should be submitted to student records (student.records@keele.ac.uk).

5.2 Oral Examination by Video Link

This section details aspects which are specific to a video link viva. In all other aspects, the oral examination by video link should follow the same procedures as a face-to-face examination (see previous section for details).

5.2.1 Preparation for an Oral Examination by Video Link

- 5.2.1.1 Prior to consenting to the oral examination being conducted by video link, all parties should be made aware of the benefits and difficulties of the technology for this purpose and should consent to undertaking the viva by video link. No pressure should be placed on any participant to acquiesce to the request for the oral examination to be conducted by video link. Viva by audio link or call only are not acceptable.
- 5.2.1.2 Arrangements should be made to allow the examination panel to speak to each other collectively with absolute privacy, in the absence of the PGR, before and after the oral

examination to agree the viva agenda and the content of the Post-Viva Examiners' Joint Report and the recommendations to be conveyed to the PGR. However, examiners must not be in contact with each other until each has submitted their own Pre-Viva Examiner's Report.

- 5.2.1.3 Arrangements for the oral examination by video link should normally be coordinated by the PGR Administrator within the PGR's Faculty, in consultation with the Independent Chair.

5.2.2 Attendance at the Oral Examination by Video Link

- 5.2.2.1 The Independent Chair will manage the conduct of the oral examination and should have attended training and/or be experienced in conducting an oral examination by video link. Training resources can be found here. The Independent Chair is responsible for taking all reasonable steps to ensure that the PGR is not disadvantaged in any way compared to the traditional situation of an in-situ oral examination.
- 5.2.2.2 The internal examiner, the external examiner(s) and the PGR will all have provided written agreement, in advance, for the oral examination to be conducted by a remote video link and should have read and understood this Guidance.

5.2.3 During the Oral Examination

- 5.2.3.1 The PGR should visually confirm to the panel that no other persons are present in the room for the oral examination and that there is no indication of foul play, such as the PGR being assisted in any way in their responses to the panel. It is expected in these circumstances that normally the candidate's hands would be in full view of the camera throughout the examination
- 5.2.3.2 The Chair should confirm with all members that the location is sufficiently private and free of any interruptions or distractions for the PGR or the panel.
- 5.2.3.3 Any materials brought into the examination room by the PGR should be identified to all participants at the start of the examination.
- 5.2.3.4 The Independent Chair should confirm formally that the environment for all participants is sufficient to conduct an oral examination, e.g. lighting, positioning of the cameras, seating layout, adequate personal space, sound volume and quality etc. and ask for any adjustment if necessary.

5.2.4 Video Link Technology and Failure

- 5.2.4.1 The technology used should be Microsoft Teams. The University will not permit the oral examination to be conducted by telephone conference.

- 5.2.4.2 Skype (or an equivalent and appropriate technology) should only be used as a back-up means of video link if Microsoft Teams experiences a failure. All parties should test their Skype (or equivalent technology) connection at the time when the video conferencing system is being tested, as a contingency plan.
- 5.2.4.3 All parties must have access to the appropriate technology, and a means of contacting an IT operative for assistance with technical issues. All parties must be comfortable with the use of the video link technology for the purposes of the oral examination.
- 5.2.4.4 Thorough testing of the video link connection should be undertaken before the time of the oral examination and if there are any doubts about the quality or sustainability of the connection, the examination should not be allowed to proceed.
- 5.2.4.5 The oral examination should not normally be recorded by any of the participants.
- 5.2.4.6 If the connection deteriorates during the call so that the panel cannot adequately communicate amongst themselves and with the PGR, or if the video call breaks up or is disconnected, it is recommended that at least two attempts are made to reconnect the call to achieve a good quality connection.
- 5.2.4.7 If this is not possible, all parties must accept that in the event of repeated technology failures that prevent completion of the oral examination, it will be necessary for the viva to be re-scheduled or to be deferred until an in-situ viva is possible.

5.2.5 After the Oral Examination

- 5.2.6 All participants should formally confirm at the conclusion of the oral examination that the use of video link had no substantive bearing on the examination process. This should also be recorded in the Joint Part 2 report of the examiners.
- 5.2.7 The Post-Viva Examiners' Joint Report Form and Report should be completed in the same manner as an in-situ viva, though reference should be made that the viva took place through a multi-way video link.
- 5.2.8 The School will be responsible for any costs which are incurred for the oral examination to take place by video link. The external examiner's fee at the normal rate will continue to be met from central funds (Quality Assurance, Academic Registry).
- 5.2.9 PGR appeals will be considered in accordance with University Regulations. However, once a PGR has provided written consent to be examined by video link, appeals against an adverse result on the grounds associated with their ability to operate the system would not normally be accepted.

5.3 After the Viva

There are several steps that PGRs and examiners should be aware of which take place following a viva. This section covers these stages and includes a flow chart which demonstrates the actions required for each of the seven recommendations. Where a Recommendation 2 is awarded, examiners will have one month to review the submitted corrections. If after 6 weeks no response has been received from the authorising examiner, the corrections will be sent to the other examiner for approval.

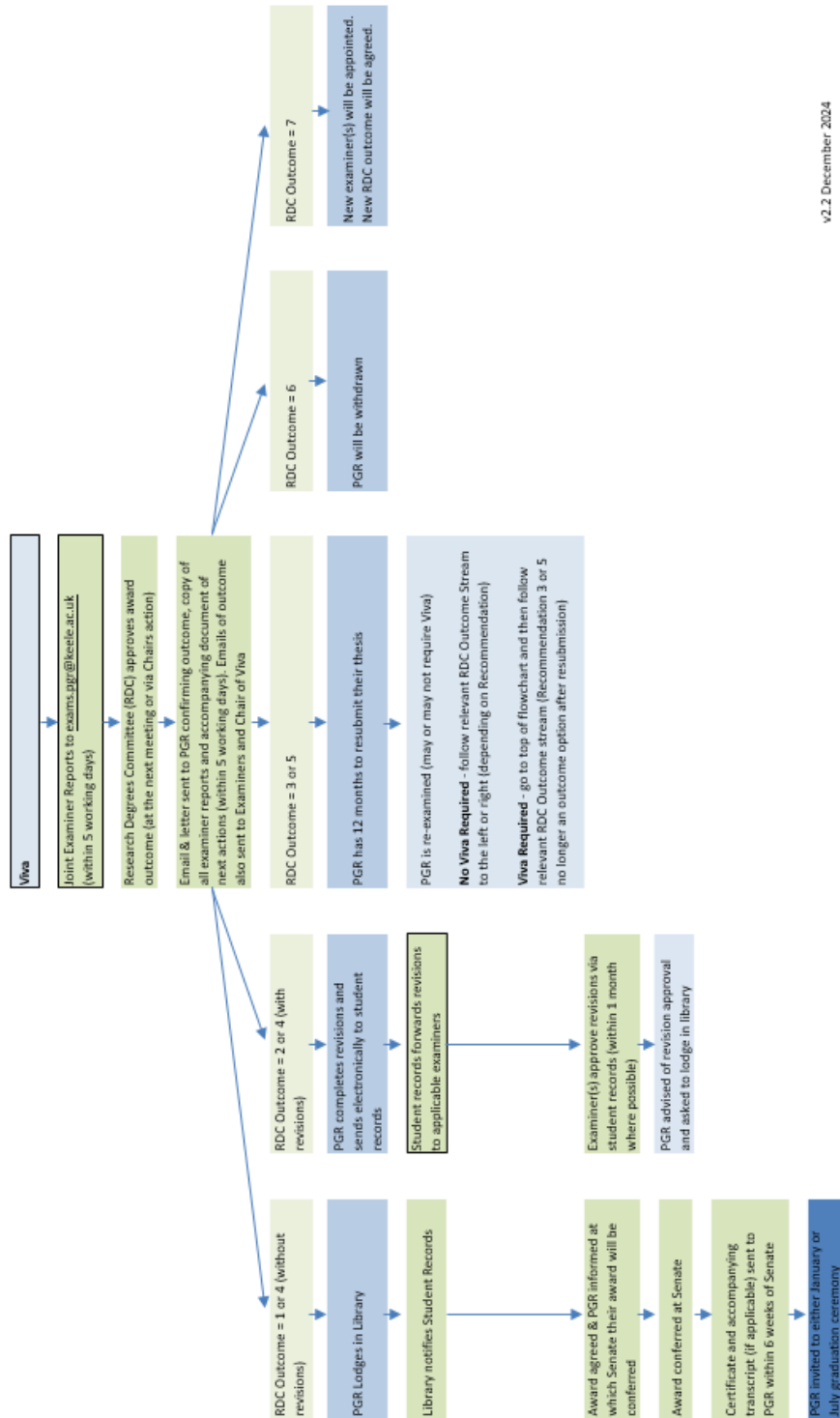
Once all the paperwork has been received, the Research Degrees Committee (RDC) will consider the Pre-Viva and Post-Viva Reports from the examiners and decide whether or not to approve the recommendation as to the outcome of the examination. The circumstances in which RDC may decline to accept a recommendation are extremely limited and, in all cases, will never question the academic judgement of the examiners. However, it may be useful to keep in mind the following instances when the Committee may be minded not to accept a recommendation or else delay its approval:

- In the majority of cases where RDC does not initially approve the examiners' recommendation, this will be because of deficiencies identified in the reports. The previous sections indicate what must be covered in the Pre-Viva and Post-Viva Reports. Overall, the Committee must be able to see and understand the rationale that the examiners have used to reach their recommendation.

There are sometimes discussions on cases where the decision to go for Recommendation 2 (corrections) or Recommendation 3 (resubmission) requires a difficult judgement call. Examiners are asked to keep in mind that recommendation 2 (corrections), when undertaken, should not materially alter the intellectual content of the thesis. Where this is likely to occur, recommendation 3 might be more appropriate.

Once RDC has approved the examiners' recommendation and reports, an outcome letter and copies of those reports are sent to the PGR, lead supervisor, PGR Director, PGR Administrator and the examiners.

Flowchart detailing PGR Journey following Viva



v2.2 December 2024

The Flowchart above summarises the examination process at Keele University, including the actions required for each of the seven outcomes the examiners can recommend following a viva voce examination. It is difficult to predict when a PGR will graduate, as it depends entirely on the recommendation examiners give. The flowchart aims to offer PGRs and staff an idea of the expected timelines for each outcome.

6. PGR Fees and Expenses (*external examiners only*)

All of the paperwork external examiners should need to claim their fee and any expenses they might incur as part of their responsibilities as a PGR examiner will be sent along with a copy of the PGR's thesis. These documents are produced centrally and linked to the PGR being examined. External examiners should complete the fee payment form as soon as possible and return it to the address given or else email it to exams.pgr@keele.ac.uk.

Claims for reasonable expenses incurred in relation to the examination process should be similarly submitted following the oral examination. Where external examiners believe that they might incur expenses exceeding £200 (excluding fees), they are kindly asked to contact Ed McCauley (e.mccauley@keele.ac.uk) beforehand.

Tax liabilities are the responsibility of the examiner to ensure that they comply with their local regulations.

Fees and expenses will be processed following approval of the full set of reports at RDC.

The University's fees for PGR examining are as follows:

TYPE OF DEGREE	TYPE OF EXAM	FEE
Doctoral degrees (PhD, Prof. Docs. etc.)	First submission	£150.00
Master of Philosophy (MPhil)	First submission	£120.00
Doctoral degrees (PhD, Prof. Docs. etc.)	Re-examination	£90.00
Master of Philosophy (MPhil)	Re-examination	£72.00

7 Depositing a Thesis in the Library

This section communicates the requirements for depositing an MPhil, PhD or Professional Doctorate thesis in the University Library.

7.1 Guidelines for Submission of a Postgraduate Research Thesis for Deposit in the Library

Guidelines for Deposit of a Postgraduate Research Thesis in the Library

Regulation: In accordance with University Regulation C10.5, each Keele PGR is required to deposit an electronic copy of their final approved thesis in the University Library.

This section communicates the requirements for depositing an MPhil, PhD or Professional Doctorate thesis in the University Library. Theses should be lodged entirely electronically. No hard copy is required.

Thesis formatting guidance can be found in Section 3 of this handbook, titled 'Thesis Submission'

Theses should be deposited in the Library within three months of receiving the recommendation for an award. If a PGR fails to deposit their thesis within that timeframe, they will receive a reminder after three months and then six months. If the thesis hasn't been deposited after six months, the University may initiate procedures to withdraw the PGR and not issue the award. PGRs will have the right to submit an appeal against such a decision. More information about the appeals procedure, and the grounds on which PGRs can make an appeal, can be found on the Academic Appeals – Research Degrees web page.

Library thesis deposit:

Once the recommendation for an award has been received from Student Records and Examinations, PGRs must supply the following to the Library, by email, to special.collections@keele.ac.uk:

- Final thesis PDF
- A newly completed and signed Academic Honesty Declaration Form
- A completed Thesis Deposit Agreement

Format and layout:

PDF is the standard format for a thesis deposited in the library.

Thesis title page requirements are:

- Approved thesis title
- Author's full, Keele registered name
- Keele University

- Degree which has been awarded
- Month and year of award (i.e., month when Senate will approve the award, which will be confirmed by Student Records once the thesis is ready to submit following approval of corrections)

Guidance on electronic thesis deposit

What do I need to know?

Once PGRs have deposited their thesis with the Library, the full text thesis and metadata (author, title, abstract, keywords, etc.) will be made available online. Online access constitutes publication and requires consideration of issues relating to grant funding, sensitivity and safety, copyright, confidentiality, intellectual property rights, and co-sponsorship. Please read the following guidance before depositing the thesis.

What are the benefits?

Like most universities, Keele has established a Research Repository to preserve and make digitally available the University's scholarly research output. PGR theses are uploaded to the repository, becoming exposed to internet search engines and aggregators such as Google, EThOS and CORE.

As a result, postgraduate research is more searchable and more visible worldwide. This has potential implications for career progression and research success – as the thesis is picked up and cited more widely, so it makes a greater impact in the subject discipline.

As research becomes widely available, it can be recognised and acknowledged as an individual's work and appropriately referenced. Open access also makes it easier to discover whether work has been plagiarised. Keele's Research Repository operates an immediate thesis take-down policy, should issues arise.

Restricting access to a thesis

Before completing the thesis deposit agreement, PGRs should read this guidance and consult their supervisor to establish whether there is a valid reason for restricting access to the thesis. In normal circumstances, the duration of an embargo should be less than a year and no more than five years.

The Freedom of Information Act 2000 and the Environmental Information Regulations 2004 give rights of public access to information, including theses, held by Keele University, unless a permitted exemption or exception is applied.

The most common reasons for an access embargo are:

- The thesis is due for publication
- The thesis has been commercially sponsored, and the agreement does not permit publication online

- The thesis contains commercially sensitive information, the release of which might prejudice the commercial interests of any person including the author, the University or an external company
- The thesis includes material that was obtained under a promise of confidentiality
- Release of the thesis might endanger the physical or mental health or the safety of an individual

Grant funding and access

If PGRs have been in receipt of grant funding to support their studies, they should check the terms and conditions regarding open access and the use of access embargoes.

It may be a condition of grant funding that raw research data associated with the thesis is also preserved and made open access. If the thesis is accompanied by datasets, we advise PGRs to upload to the Keele Data Repository. Exceptions are files that are a central part of the thesis, in which case they should be deposited in the Library with the electronic thesis.

Third party copyright

Copyright in theses is covered by the Copyright Designs and Patents Act 1988. Third party copyright is where the rights are owned by others – a PGR may have included published extracts, quotations, images, maps, tables, designs, music scores or other third-party copyright material in their thesis. Third party copyright also includes extracts from publications that the PGR has authored, and use depends upon the agreement they entered into with the publisher. If unpublished material, such as manuscripts and photographs is included, it is important to remember that much unpublished work remains in copyright until 2039. For the purpose of examination, it has been acceptable to quote from copyrighted works without seeking permission from the rights holder. However, electronic availability is a form of publication, and so permission must be obtained from copyright holders before including extensive and significant third-party copyright content in the online version of the thesis.

Fair dealing

Under 'fair dealing', it is not necessary to seek permission from the copyright holders where extracts are short and insubstantial and are cited accurately. It is important to reference correctly to avoid accusations of plagiarism. However, the Copyright Designs and Patents Act 1988 does not define what constitutes short or insubstantial, so if in doubt, permission should be sought. Inclusion of images and music extracts in copyright will certainly require permission. When making a judgement, PGRs must consider whether they would be happy for others to copy a similar quantity of their work in such a way.

Contacting copyright holders

When seeking copyright clearance to include 'substantial' material from published books or journals in the thesis, contacting the publisher is usually the best starting point. Contact addresses can be found on publishers' websites and the larger companies usually have Rights and Permissions departments (or searched under 'copyright' and 'clearance'). Seeking approval can take time, so it shouldn't be left until the last minute. Images from publications usually have different rights holders who need to be contacted

separately. Where permission has been granted, evidence should be included in the full thesis, e.g. 'Permission to reproduce...has been granted by...'

Editing a thesis

Where approval from a rights holder has not been obtained, or where a publication fee is being requested and PGRs do not wish to pay this, the thesis should not be made available online unless the relevant third-party copyright material is removed.

Where third party copyright material is removed from the thesis, PGRs should include reference to where this material can be found. On the title page of an edited thesis, the wording should be similar to:

'This electronic version of the thesis has been edited solely to ensure compliance with copyright legislation and excluded material is referenced in the text. The full, final, examined and awarded version of the thesis is held by the University Library'

There remains the requirement to deposit an electronic copy of the full, final thesis for secure storage and preservation. The Thesis Deposit Agreement gives the option to deposit an abridged electronic version for online access, with the full version securely stored. If PGRs need to deposit two files, one complete and one with third party copyright material redacted, they should add 'edited' or 'full' to the file names.

Publishing

Many publishers are not concerned about availability of theses in repositories and do not consider them to be equivalent publications. However, PGRs should consult their supervisor and contact their publisher if they are seeking to publish their research and are concerned that electronic availability of the thesis could constitute prior publication. After consultation, it may be decided to restrict access for a limited period. Access options can be found on the Thesis Deposit Agreement.

Intellectual property

Where a PGR or supervisor believes a thesis may contain intellectual property with potential commercial value, this should be brought to the attention of the Directorate Research, Innovation and Engagement before any disclosure takes place. Where PGRs are seeking to patent an idea, it must not have been published already. Electronic availability of the thesis constitutes publication, so it is recommended that advice is sought. PGRs can decide to place a time-limited restriction on access to the thesis. The duration of an embargo is most commonly between 2 and 5 years. Please refer to the options on the Thesis Deposit Agreement.

Co-sponsorship

Where a studentship is funded by an external organisation and governed by a formal contract, in order to prevent a possible breach of contractual obligation or confidentiality agreement, advice should be sought from Directorate of Research, Innovation and Engagement. It might well be decided to place a

time-limited restriction on access. Embargoes do not usually exceed 5 years. Please see the access options on the Thesis Deposit Agreement.

Contacts

Library Thesis Deposit • special.collections@keele.ac.uk

Scholarly Communications and Research Support Librarian • j.heap@keele.ac.uk

Research Operations Manager • c.e.greaves@keele.ac.uk

Keele Doctoral Academy • exams.pgr@keele.ac.uk

Student Records and Examinations • studentrecords@keele.ac.uk

If you have any further questions about the content of this handbook, or the PGR examination process at Keele, please contact exams.pgr@keele.ac.uk

