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**Degree of Doctor of Philosophy**

***Notes for the Guidance of Examiners***

Thank you for agreeing to examine one of the University’s candidates for the award of a PhD degree.

This guide summarises key elements of the University’s Regulations and Code of Practice, which may read in full at [www.hope.ac.uk/research/postgraduateresearch/pgrinformationforstaff/](http://www.hope.ac.uk/research/postgraduateresearch/pgrinformationforstaff/)

You are advised to consult this guide before completing your Initial Report.

**Neil McLaughlin Cook**

**Registrar**

**January 2017 \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

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**A What are the Main Stages in the Examining Process?**

There are 8 main stages, as follows.

**A1 The Student Indicates that they Intend to Submit a Thesis, and their Status is Changed to “Submission Pending”**

The student formally notifies the University Registrar of their Intention to Submit [the notification is normally received **at least 2 months** before the expected date of submission].

If the Registrar confirms that the Intention to Submit” form has been validly completed and countersigned by the student’s Director of Studies, the student’s status is changes to “Submission Pending, and the Registrar informs the student’s Faculty [*or the PGR Office or equivalent in a partner inst*itution] that preparation for the examination may begin.

**A2 The University Appoints the Examiners and an Independent Chair**

There will be **at least two examiners**: normally, at least one internal examiner [not one of the student’s supervisors], from Liverpool Hope University or a Partner Institution, and at least one External Examiner. [Where the candidate is a member of staff Liverpool Hope University or a Partner Institution, both examiners will be external.]

The Independent Chair is a senior member of academic staff at Liverpool Hope University with experience of the University’s procedures for examining research students. She or he chairs the oral examination, and is responsible for ensuring that the examiners agree an outcome in accordance with the University’s regulations, and sign a joint report; the Chair also emails the joint report to the University Registrar.

**A3 The Student Submits the Thesis**

The Faculty Research Administration staff at Liverpool Hope [or the PGR Office or equivalent in a partner institution] will forward a copy of the thesis to each examiner, together with a copy of the Initial Report Form and this Guide, to arrive no later than one working week after the thesis has been submitted.

**A4 The Date of the Oral Examination will be agreed**

The Faculty Research Administration staff at Liverpool Hope [or the PGR Office or equivalent in a partner institution] is responsible for ensuring that a date is agreed by all parties.

**A5 The Examiners Consider the Thesis and Submit an Initial Report**

Using the template in Appendix One or Two , each examiner submits an independent written report to the Faculty Research Administration staff at Liverpool Hope [or the PGR Office or equivalent in a partner institution], to arrive at least a week before the oral examination.

The Faculty Research Administration staff at Liverpool Hope [or the PGR Office or equivalent in a partner institution] distributes a full set of Initial Reports to all examiners before the date of the examination, ensuring that, when examiners arrive, they are familiar with all the issues raised.

The Initial Reports are not given to, or discussed with, either the candidate or any member of the Supervisory Team.

**A6 The Student Defends the Thesis at an Oral Examination, and the Examiners Recommend an Outcome**

The examination is normally be held within 2 months of the submission of the thesis, and must be held no later than 3 months after the submission of the thesis.

The recommended outcome is indicated in the Final Report Form [see Appendix Three], compiled by the Independent Chair, but signed by all examiners.

The Chair emails the report to the University Registrar, normally on the same day as the oral examination.

**A7 The University Registrar Confirms that the Recommended Outcome is Compatible with the University’s Regulations, and Arranges for the Student to receive a Formal Communication of the Outcome**

The outcome is issued by email, copied to the Faculty Research Administration staff at Liverpool Hope [or the PGR Office or equivalent in a partner institution].

**A8 The Student Undertakes such Revisions to the Thesis, and Attends any Further Oral Examinations, as may be Required by the Examiners**

When the examiners have confirmed that the student has met the academic requirements for an award of the University, the Registrar will issue instructions to the student outlining final steps that must be taken in order for the student to become eligible for the award to be conferred at a graduation ceremony.

**B What are the Main Duties and Responsibilities of Internal Examiners?**

There are 9 key duties and responsibilities, as follows.

**B1** To prepare an independent preliminary report on the thesis in advance of the examination, identifying any concerns and giving an initial recommendation. This must not be disclosed to or discussed with the student or the supervisors prior to the oral examination.

**B2** To meet with the external examiner[s] and the Chair on the day of the examination before the candidate is seen, to agree how the examination is to proceed.

**B3** To conduct him/herself in the oral examination in a way which is fair and reasonable and gives the candidate every opportunity to explain and defend their work.

**B4** To give informal feedback to the candidate, with the other examiners, on the day of the examination.

**B5** To provide detailed feedback in respect of any modifications or revisions required to the thesis, no later than one week after the examination.

**B6** To contribute to, and to sign, the final report.

**B7** Where the examiners do not agree on a recommendation, to prepare an independent final report, and forward this to the University Registrar.

**B8** Where minor modifications have been requested to the thesis, to approve the modifications and sign a form to this effect, which must be forwarded to the University Registrar.

**B9** To ensure that any concerns about general issues are notified to the Independent Chair.

**B10** To liaise with the student’s Director of Studies, to ensure that there is a shared understanding of the student’s entitlement, if any, to supervision in the resubmission period.

**C What are the Main Duties and Responsibilities of External Examiners?**

**C1 All External Examiners are expected to undertake the following 8 key duties and responsibilities.**

[a] To read the thesis and prepare a preliminary report on it in advance of the oral examination, identifying any concerns and giving an initial recommendation. This must not be disclosed to or discussed with the student or the supervisors prior to the oral examination.

[b] To meet with the internal examiners, any other external examiners and the Independent Chair on the day of the examination before the candidate is seen, to agree how the examination is to proceed.

[c] To conduct him/herself in the oral examination in a way which is fair and reasonable and gives the candidate every opportunity to explain and defend their work.

[d] To give informal feedback to the candidate, with the other examiners, on the day of the examination.

[e] To contribute to, and to sign, the agreed final report.

[f] To provide detailed feedback in respect of any modifications or revisions required to the thesis, no later than one week after the examination.

[g] To agree with the other examiners who will be responsible for approving any modifications required to the thesis. Where this includes the external examiner, to read and approve the modified thesis in a timely manner, and to sign the appropriate form and forward it to the University Registrar as instructed.

[h] To ensure that any concerns about general issues are notified to the Independent Chair.

**C2 Responsibilities of External Examiners where a Student is Required to Undergo a Second Oral Examination.**

Normally, the second examination will be conducted by the same examiners as the first examination, although a second fee would be paid. [The only exception shall be if the external examiner is unable to extend his/her role to cover the period of the second examination. If the original external examiner cannot participate in the second oral examination, the University shall normally appoint a second external examiner for that purpose.]

**D What are the Main Duties and Responsibilities of Independent Chairs of Oral Examinations?**

There are 10 key duties and responsibilities, as follows.

**D1** To ensure that the examiner[s] have prepared independent preliminary report[s] in advance of the examination.

**D2** To meet with the examiner[s] on the day of the examination before the candidate is seen, and to agree how the examination is to proceed.

**D3** To ensure that the oral examination is conducted in accordance with the Regulations and Code of Practice.

**D4** To ensure that an agreed final report is produced and signed by all examiners, and to email this to the University Registrar without delay.

**D5** To ensure that any modifications or revisions required to a thesis are notified in detail to the candidate in writing, no later than one week after the oral examination.

**D6** To ensure that informal feedback on the examination and the thesis is given to the candidate on the day of the examination.

**D7** Where the examiners do not agree on a recommendation, to prepare an independent final report, and forward this to the University Registrar, and provide instructions to the examiner(s) to do likewise.

**D8** Where minor modifications have been requested to the thesis, to ensure that all designated examiners have seen and approved the modifications and signed a form to this effect, which must be forwarded to the University Registrar.

**D9** Where, exceptionally, an external examiner indicates that he or she will be unable to participate in a second examination, to request that the Supervisory Team prepares a recommendation for the appointment of a replacement.

**D10** To report to the Pro-Vice Chancellor [Research and Academic Development] any significant problems which occur in the examination, and to report to Research Degrees SubCommittee any general issues arising from the examination.

**E How should the Oral Examination, and Associated Examiners’ Meetings, be Conducted?**

**E1 The Pre-Meeting**

The Independent Chair will arrange to meet the examiners before the examination, to agree an Agenda.

**E2 The Examination Itself**

The examination will follow the Agenda agreed in advance. However, the Agenda will offer the candidate an opportunity to draw attention to aspects of the thesis not covered by the substantive Agenda items.

The candidate must be given a full opportunity to defend their thesis and to address the issues raised.

**E3 The Private Meeting of the Examiners after the Examination**

The examiners agree the broad content of the Final Report.

Where, exceptionally, the examiners cannot agree a recommendation, the Independent Chair will prepare an independent final report, forward this to the University Registrar, and provide instructions to the examiner(s) to do likewise. The matter will then be referred to the Pro-Vice Chancellor [Research and Academic Development].

**E4 Feedback to Candidates**

[a] The Chair normally provides the candidate with informal oral feedback on the day of the examination. This includes the recommended outcome and, where amendments are needed, an indication of the broad nature of the amendments and the date by which they would need to be submitted.

[b] The candidate and Director of studies are supplied, no later than one week after the examination, with written feedback, giving full details, extracted from the Final Report, of the outcome and required modifications.

[c] Both the oral and written feedback shall:

* specify that the recommendations are subject to formal confirmation by the University, to be received [normally within 2 or 3 working days] via the students Hope University email account via an email from administration@hope.ac.uk;
* draw the attention of unsuccessful candidates to the University’s appeals regulations, specifying that an appeal could only be submitted after the formal confirmation email had been received.

**F What are Potential Outcomes of the Oral Examination?**

**F1 Normal Outcomes**

In most cases, the examiners will agree one of the following 4 outcomes.

[a] Award of PhD

* The candidate has satisfied the academic requirements for the award of a PhD [but may be required to make minor typographical corrections to the thesis, and/or to make other very minor non-substantive changes to the thesis prior to final submission of the hard-bound copy].

[b] Award of PhD Subject to Minor Amendments

* The candidate has satisfied the academic requirements for the award of a PhD. However, the candidate is required to make minor amendments to the content of the thesis, the candidate being required to submit a revised thesis normally no later than three months after the formal publication of the outcome of the examination.
* The candidate will only become eligible for the award of PhD when the University is satisfied that the thesis has been appropriately amended and the appropriate documentation has been signed by the internal and/or the external examiner.

[c] Award of PhD Subject to Major Amendments

* The candidate has broadly satisfied the academic requirements for the award of a PhD. However, the candidate is required to make major amendments to the content of the thesis, the candidate being required to submit a revised thesis normally no later than one year after the formal publication of the outcome of the examination.
* The candidate will only become eligible for the award of PhD when the University is satisfied that the amended thesis fully meets the academic requirements for the award of a PhD and the appropriate documentation has been signed by the *both* the internal *and* external examiner.
* The candidate will not normally be expected to undertake a second oral examination. However:
	+ following the initial oral examination, the examiners may, exceptionally, specify, in their recommendation to the Progression and Award Board, that a second oral examination is required;
	+ if, exceptionally, the examiners are not satisfied that the resubmitted thesis fully meets the requirements for the award of a PhD, they may then require the candidate to attend a second oral examination.

[d] Re-Examination Required

* The candidate has not yet satisfied the academic requirements for the award of a PhD. However, the candidate is entitled to revise and resubmit the thesis and [if necessary] undertake further research.
* The candidate is required to submit a revised thesis normally no later than two years after the formal publication of the outcome of the examination.
* The candidate will only become eligible for the award of PhD when the University is satisfied, via a full reassessment, including an oral examination, that the amended thesis fully meets the academic requirements for the award of a PhD.
* The candidate will be fully informed that the advice and guidance given by the examiners, even if followed to the letter, cannot be taken as a guarantee of the outcome of the re-examination.

**F2 Other Outcomes**

If the examiners judge that none of the normal outcomes is appropriate, one of the following 5 alternative outcomes may be agreed.

[a] Award of MPhil

* The candidate has not satisfied the academic requirements for the award of a PhD, but has satisfied the academic requirements for the award of an MPhil.
* The candidate may be advised to make minor typographical corrections to the thesis, and/or to make other non-substantive changes to the thesis].

[b] Award of MPhil Subject to Minor Amendments

* The candidate has not satisfied the academic requirements for the award of a PhD, but has satisfied the academic requirements for the award of an MPhil. However, the candidate is required to make minor amendments to the content of the thesis, the candidate being required to submit a revised thesis normally no later than three months after the formal publication of the outcome of the examination.
* The candidate will only become eligible for the award of MPhil when the University is satisfied that the thesis has been appropriately amended and the appropriate documentation has been signed by the internal and/or the external examiner.

[c] Award of MPhil Subject to Major Amendments

* The candidate has not satisfied the academic requirements for the award of a PhD, but has broadly satisfied the academic requirements for the award of an MPhil. However, the candidate is required to make major amendments to the content of the thesis, the candidate being required to submit a revised thesis normally no later than one year after the formal publication of the outcome of the examination.
* The candidate will only become eligible for the award of MPhil when the University is satisfied that the amended thesis fully meets the academic requirements for the award of an MPhil and the appropriate documentation has been signed by *both* the internal *and* the external examiner.
* The candidate will not normally be expected to undertake a second oral examination. However:
	+ following the initial oral examination, the examiners may, exceptionally, specify, in their recommendation to the Progression and Award Board, that a second oral examination is required;
	+ if, exceptionally, the examiners are not satisfied that the resubmitted thesis fully meets the requirements for the award of an MPhil, they may then require the candidate to attend a second oral examination.

[d] Re-Examination for MPhil Required

* The candidate has not satisfied the academic requirements for the award of a PhD, and has not yet satisfied the academic requirements for the award of an MPhil. However, the candidate is entitled to revise and resubmit the thesis and [if necessary] undertake further research.
* The candidate is required to submit a revised thesis normally no later than one year after the formal publication of the outcome of the examination.
* The candidate will only become eligible for the award of MPhil when the University is satisfied, via a full reassessment including an oral examination, that the amended thesis fully meets the academic requirements for the award of an MPhil and the appropriate documentation has been signed by the *both* internal *and* the external examiner.

[e] Fail

* The candidate has not satisfied the academic requirements for the award of a postgraduate research degree, is not entitled to resubmit the thesis, and so must terminate studies with no entitlement to an award.
* This would be very unusual, but would be the normal outcome in the case of a candidate who was found guilty of plagiarism or other academic misconduct in the thesis. In order to avoid potential appeals, examiners who identify academic misconduct are advised to contact the Registrar as soon as possible before the oral examination, so that formal procedures for investigating the matter can be initiated.

**G What are the University’s Main Regulations about Reassessment Procedures?**

**G1 Candidates Required to Undertake Major Modifications or a Re-examination.**

[a] The reassessed work shall normally be assessed by the same examiners who assessed the original thesis and oral examination.

[b] The outcome shall be notified to the University Registrar, via a special form available from [www.hope.ac.uk/research/postgraduateresearch/pgrinformationforstaff/](http://www.hope.ac.uk/research/postgraduateresearch/pgrinformationforstaff/)

[b] Normally, the only recommendations possible following such reassessments shall be:

* the candidate has now satisfied the academic requirements for the award of a PhD, but may be advised to make typographical corrections or other minor non-substantive changes;
* the candidate has now satisfied the academic requirements for the award of a PhD, but is required to make minor modification to the thesis;
* the candidate has satisfied the academic requirements for the award of an MPhil, but may be advised to make typographical corrections or other non-substantive changes;
* the candidate has now satisfied the academic requirements for the award of an MPhil, but is required to make minor modification to the thesis;
* the candidate has not satisfied the academic requirements for the award of a postgraduate research degree, and is not entitled to resubmit the thesis.

**G2 Candidates Required to make Minor Modifications to the Thesis.**

[a] The revised thesis shall normally, but with the recorded approval of the external examiner, be assessed by the internal examiner[s], and the outcome notified to the University Registrar, via a special form available from [www.hope.ac.uk/research/postgraduateresearch/pgrinformationforstaff/](http://www.hope.ac.uk/research/postgraduateresearch/pgrinformationforstaff/)

[b] Normally, the only outcomes possible following such minor amendments shall be:

* the candidate has now satisfied the academic requirements for the award of a PhD, but may be advised to make typographical corrections or other non-substantive changes;
* the candidate has satisfied the academic requirements for the award of an MPhil, but may be advised to make typographical corrections or other non-substantive changes;
* the candidate has not fully satisfied the academic requirements for the award of a postgraduate research degree, and is not entitled to resubmit the thesis.

**G3 Exceptional Outcomes**

Notwithstanding paragraphs G1 and G2, the examiners may recommend, in exceptional circumstances, that a student should be granted a further opportunity to make major modifications or to be examined.

**H What are the University’s Main Regulations and Guidelines Covering the Length and Format of the Thesis?**

**H1 Overall Length**

[a] The thesis should be as concise as possible.

[b] No thesis shall exceed the normal maximum of 100,000 words, unless written permission has been obtained from the Director of Studies and EITHER [for Hope students], the Head of the Department or equivalent and the Faculty Research Degree Coordinator OR [for students in Partner Institutions] the University Moderator and the Chair of Liverpool Hope’s Research Degrees SubCommittee. It is recommended that views of potential examiners be sought before approval is granted.

[c] The maxima include footnotes, appendices and the bibliography or reference list.

[d] In some disciplines it may be appropriate for theses to be significantly shorter than the maximum, or indeed to be largely presented in an alternative format in which a word count is inappropriate. Departments at Liverpool Hope are expected to produce their own guidelines on this matter, in accordance with national conventions in their discipline.

**H2 Acknowledgement of Sources**

Candidates must state [using conventions appropriate to their discipline] the sources from which their information is derived and the extent to which they have availed themselves of the work of others.

**H3 Number of Copies Required**

Before the examination:

* the student is required to submit an electronic copy and 2 soft bound copies.

Before the examination:

* the student is required to submit an electronic copy and 2 hard bound copies.

**H4 Presentation and Layout**

[a] *Typing, printing and copying*

Type must be uniform and clear in all copies, for both text and illustrations. The minimum height for capital letters is 2 mm and the minimum x-height (height of lower-case “x”) 1.5 mm. The main body of the text must be in black ink on white paper. A personal computer with a printer of good quality (*e.g.* laser or inkjet) must be used to produce the first copy. Good, permanent photocopies on plain paper are acceptable for the second and third copies. Copies made by chemical means, which may fade, are not. The copier must be checked before use to ensure that it does not produce extraneous marks on the copies.

[b] *Binding and lettering of the thesis presented for examination*

Theses may be presented for examination in either permanent or temporary bindings.

*Permanent binding*

* + - The thesis is to be bound in book form in a strong black cloth. Maximum thickness 65 mm (2½”): if of greater thickness, two or more volumes per copy will be required. The binding of all volumes must be identical.
		- Letteringon permanent bindings to be in gold.
		- Front cover*:* title of thesis.
		- Spine*:* Top: degree. Middle: surname and initials. Bottom: year of submission.

*Temporary binding*

* + - The thesis should be presented in such a way that the pages cannot be readily removed (therefore ring binders and spiral binding are not permitted).
		- The candidate's surname, initials, the date (month and year) and the degree to be shown on the outside front cover.

[c] *Binding and lettering of the thesis approved by the examiners*

After the thesis has been approved by the Examiners, two hard-bound copies, plus an electronic copy in PDF format, must be deposited with EITHER Faculty Research Administration staff [for students at Liverpool Hope ] OR the Postgraduate Research Office or equivalent in a partner institution.

[d] *The Title Page*

Content*:* Title of thesis *then “*Thesis submitted in accordance with the requirements of Liverpool Hope University for the degree of Doctor of Philosophy” *then* full forenames and surname *then* date (month and year)

Layout: centred with suitable line spacing.

[e] *Table of Contents*

The table of contents must show chapter headings and page numbers. All separate sections of the thesis, such as bibliography, lists of abbreviations, supporting papers, etc., must also be identified on the contents page.

[f] *Abstract*

Each copy of the thesis must include an Abstract indicating the aims of the investigation and the results achieved. The Abstract must:

* + - be typed or printed; good photocopies are acceptable;
		- be not longer than can be accomplished by single-spaced type on one side of an A4 sheet (about 450 words);
		- show the author and title of the thesis in the form of a heading.

[g] *Paper*

A4 white bond paper of 70 to 100 g/m2 weight must be used for both originals and photocopies, except for any endpapers which carry no text.

If both sides of the paper are used, then:

* + - both sides must be used in both copies which are to be permanently bound;
		- there must be little or no “show-through”: paper lighter than 80 g/m2 should not be used;
		- the full binding margin of 40 mm must be allowed on the *left* side of odd pages and the *right* side of even pages. Other margins must be 25mm minimum.

[h] *Margins and Line Spacing*

1½ line spacing is advised, but at least double line spacing should be used for text that contains many subscripts and superscripts. Quotations may be indented. Authors should check the text carefully for “widows and orphans” and make full use of all error-checking facilities.

[i] *Page Numbers*

Pages should be numbered consecutively and the position of page numbers (candidate’s choice or as advised by the Director of Studies) should be consistent throughout.

[j] *Footnotes*

Where footnotes are used, they should be inserted at the foot of the relevant page in single line spacing. Smaller type may be used, if available. A line should be ruled between footnotes and the text. Footnotes should be numbered consecutively throughout the thesis.

[k] *Diagrams, Maps, Illustrations and Supporting Material*

Diagrams, maps and illustrations should be placed as near to the relevant text as possible. If it is necessary to place illustrations in a separate volume, the binding must match that of the text. Photographs must be prints of good quality and adequate size. Identical and permanent prints of any monochrome or colour photographs used must be securely mounted in each copy of the thesis. Published papers submitted in support of the thesis should be sewn in by the bookbinder as an appendix. Essential material that cannot be sewn in (large charts, tapes, floppy disks, CDs, microfiches, etc.) must be placed securely in a pocket attached to the inside back cover of each copy by the bookbinder. Before submitting material that cannot be read without special facilities, candidates must satisfy themselves and their supervisors that [i]that it is essential to include such material and [ii] the Examiners have ready access to such facilities.

[e] *The Author’s Declaration*

Each copy of the thesis must be accompanied by a Declaration by the Author. This shall indicate:

* that the thesis is the author’s own work, and has not been previously submitted for an award of this university or any other institution;
* that the content of the thesis is legally allowable under copyright legislation [this statement must be checked, and countersigned by the Primary Supervisor];
* any temporary restrictions on access to, and copying of, the thesis. [An author may impose restrictions on access to theses and copying annually for up to five years, but only if the Primary Supervisor endorses the Author's Declaration, by confirming, on the same sheet, that such restriction is necessary for good reasons, e.g. preparation for publication or a patent application. Permanent restriction is not permitted, nor does the University accept theses written under contracts of secrecy.]

**I What are the University’s General Expectations for Standards Commensurate with the Award of a Doctor of Philosophy Degree? \*\***

**I1 Liverpool Hope University will award the degree of PhD to students who have demonstrated:**

􀁺 the creation and interpretation of new knowledge, through original research or other advanced scholarship, of a quality to satisfy peer review, extend the forefront of the discipline, and merit publication;

􀁺 a systematic acquisition and understanding of a substantial body of knowledge which is at the forefront of an academic discipline or area of professional practice;

􀁺 the general ability to conceptualise, design and implement a project for the generation of new knowledge, applications or understanding at the forefront of the discipline, and to adjust the project design in the light of unforeseen problems;

􀁺 a detailed understanding of applicable techniques for research and advanced academic enquiry.

**I2 Typically, holders of an PhD degree from Liverpool Hope University will:**

**[a] be able to:**

􀁺 make informed judgements on complex issues in specialist fields, often in the absence of complete data, and be able to communicate their ideas and conclusions clearly and effectively to specialist and non-specialist audiences;

􀁺 continue to undertake pure and/or applied research and development at an advanced level, contributing substantially to the development of new techniques, ideas or approaches.

**[b] have the qualities & transferable skills necessary for employment requiring the exercise of:**

􀁺 personal responsibility;

􀁺 largely autonomous initiative in complex and unpredictable situations.

\*\* Adapted from: “The Framework for HE Qualifications in England, Wales & Northern Ireland” [QAA, August 2008].

APPENDIX One: the Initial Report Form

[for students at Liverpool Hope]

*to be completed separately by each examiner BEFORE the Oral Examination*

**Oral Examination of a Candidate for the Award of a PhD:**

***Examiner’s Initial Report***

* Please type this report, and ensure that you complete it fully.
* Please complete all of Sections 1-5 inclusive. Please also add your signature and the date in the boxes at the end of the form.
* You are welcome to extend or reduce the length of each section as appropriate.

|  |  |
| --- | --- |
| **Your Name** |  |
| **Your Role [*Internal Examiner or External Examiner*]** |  |
| **Name of the Candidate** |  |

|  |
| --- |
| **Section 1:*****What, in your judgement, are the main strengths of the research and/or the thesis?*** |
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| --- |
| **Section 2:*****What, in your judgement, are the main weaknesses of the research and/or the thesis?*** |
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| --- |
| **Section 3:****What are the key issues that you would like to discuss with the candidate during the oral examination?** |
|  |

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| --- |
| **Section 4:*****In general, does the candidate appear to have fulfilled the university’s expectations for the award of a doctoral degree?*** |
| The creation and interpretation of new knowledge, through original research or other advanced scholarship, of a quality to satisfy peer review, extend the forefront of the discipline, and merit publication. | [ ] Yes[ ] No |
| 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. | [ ] Yes[ ] No |
| 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. | [ ] Yes[ ] No |
| A detailed understanding of applicable techniques for research and advanced academic enquiry. | [ ] Yes[ ] No |

|  |
| --- |
| **Section 5:*****On the basis of reading the thesis, what is your provisional recommendation? (please tick one box)*** |
| The candidate should be awarded a PhD. | [ ]  |
| The candidate should be awarded a PhD subject to making minor amendments to the thesis. | [ ]  |
| The candidate should be awarded a PhD subject to making major amendments to the thesis. | [ ]  |
| The candidate has not yet satisfied the requirements for the award of a PhD, but should be given the opportunity to revise and resubmit the thesis, and then be re-examined for a PhD. | [ ]  |
| The candidate has not satisfied the requirements for the award of a PhD, but should be awarded an MPhil. | [ ]  |
| The candidate has not satisfied the requirements for the award of a PhD, but should be awarded an MPhil subject to making minor amendments to the thesis. | [ ]  |
| The candidate has not satisfied the requirements for the award of a PhD, but should be awarded an MPhil subject to making major amendments to the thesis. | [ ]  |
| The candidate has not satisfied the requirements for the award of a PhD, but should be given the opportunity to revise and resubmit the thesis, and then be re-examined for an MPhil. | [ ]  |
| The candidate has not satisfied the requirements for the award of a PhD, should not be given a further opportunity to gain a research degree, and so should fail, with no award. | [ ]  |

|  |  |
| --- | --- |
| **Your Signature** | **Date:** |
|  |  |

APPENDIX Two: the Initial Report Form

[for students at Partner Institutions]

*to be completed separately by each examiner BEFORE the Oral Examination*

**Oral Examination of a Candidate for the Award of a PhD:**

***Examiner’s Initial Report***

* Please type this report, and ensure that you complete it fully.
* Please complete all of Sections 1-5 inclusive. Please also add your signature and the date in the boxes at the end of the form.
* You are welcome to extend or reduce the length of each section as appropriate.

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| **Your Name** |  |
| **Your Role [*Internal Examiner or External Examiner*]** |  |
| **Name of the Candidate** |  |

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| **Section 1:*****What, in your judgement, are the main strengths of the research and/or the thesis?*** |
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| **Section 2:*****What, in your judgement, are the main weaknesses of the research and/or the thesis?*** |
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| **Section 3:****What are the key issues that you would like to discuss with the candidate during the oral examination?** |
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| **Section 4:*****In general, does the candidate appear to have fulfilled the university’s expectations for the award of a doctoral degree?*** |
| The creation and interpretation of new knowledge, through original research or other advanced scholarship, of a quality to satisfy peer review, extend the forefront of the discipline, and merit publication. | [ ] Yes[ ] No |
| 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. | [ ] Yes[ ] No |
| 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. | [ ] Yes[ ] No |
| A detailed understanding of applicable techniques for research and advanced academic enquiry. | [ ] Yes[ ] No |

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| **Section 5:*****On the basis of reading the thesis, what is your provisional recommendation? (please tick one box)*** |
| The candidate should be awarded a PhD. | [ ]  |
| The candidate should be awarded a PhD subject to making minor amendments to the thesis. | [ ]  |
| The candidate should be awarded a PhD subject to making major amendments to the thesis. | [ ]  |
| The candidate has not yet satisfied the requirements for the award of a PhD, but should be given the opportunity to revise and resubmit the thesis, and then be re-examined for a PhD. | [ ]  |
| The candidate has not satisfied the requirements for the award of a PhD, but should be awarded an MPhil. | [ ]  |
| The candidate has not satisfied the requirements for the award of a PhD, but should be awarded an MPhil subject to making minor amendments to the thesis. | [ ]  |
| The candidate has not satisfied the requirements for the award of a PhD, but should be awarded an MPhil subject to making major amendments to the thesis. | [ ]  |
| The candidate has not satisfied the requirements for the award of a PhD, but should be given the opportunity to revise and resubmit the thesis, and then be re-examined for an MPhil. | [ ]  |
| The candidate has not satisfied the requirements for the award of a PhD, should not be given a further opportunity to gain a research degree, and so should fail, with no award. | [ ]  |

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| **Your Signature** | **Date:** |
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APPENDIX Three: the Final Report Form

[for students at ALL locations]

*to be completed jointly by all examiners AFTER the Oral Examination*

**Oral Examination of a Candidate for the Award of a PhD:**

***Examiners’ Final Joint Report, with Agreed Recommendations***

* Please type this report, and ensure that you complete it fully.
* In ALL cases, please complete Sections 1-4 inclusive, and add your signatures to Section 9.
* Also, unless you recommend that the candidate should fail with no award and no opportunity to resubmit, please also complete ONE of Sections 5-8.
* You are welcome to extend or reduce the length of each section as appropriate. Note that:
* Sections 1-3 should not normally cover less than one full A4 sheet overall;
* the length of Sections 5-8 should be determined by the space needed to give an explicit statement of amendments or other work that you expect the candidate to undertake.

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| **Name of the Independent Chair** |  |
| **Name[s] of the Internal Examiner[s]** |  |
| **Name[s] of the External Examiner[s]**  |  |
| **Name of the Candidate** |  |
| **Date of the Oral Examination**  |  |

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| **Section 1:*****What, in your judgement, are the main strengths of the research and/or the thesis?*** |
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| **Section 2:*****What, in your judgement, are the main weaknesses of the research and/or the thesis?*** |
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| **Section 3:*****How successfully did the candidate defend her/his thesis during the oral examination?*** |
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| **Section 4:*****Select ONE of the following options to indicate your agreed recommendation.*** |
| [a] The candidate should be awarded a PhD. | [ ]  |
| [b] The candidate should be awarded a PhD subject to making minor amendments to the thesis, to be submitted no later than 3 months after the publication of the outcome of this examination. | [ ]  |
| [c] The candidate should be awarded a PhD subject to making major amendments to the thesis, to be submitted no later than 12 months after the publication of the outcome of this examination. | [ ]  |
| [d] The candidate has not yet satisfied the requirements for the award of a PhD, but should be given the opportunity to revise and resubmit the thesis, to be submitted no later than 2 years after the publication of the outcome of this examination, and then be re-examined for a PhD. | [ ]  |
| [e] The candidate has not satisfied the requirements for the award of a PhD, but should be awarded an MPhil. | [ ]  |
| [f] The candidate has not satisfied the requirements for the award of a PhD, but should be awarded an MPhil subject to making minor amendments to the thesis, to be submitted no later than 3 months after the publication of the outcome of this examination. | [ ]  |
| [g] The candidate has not satisfied the requirements for the award of a PhD, but should be awarded an MPhil subject to making major amendments to the thesis, to be submitted no later than 12 months after the publication of the outcome of this examination. | [ ]  |
| [h] The candidate has not satisfied the requirements for the award of a PhD, but should be given the opportunity to revise and resubmit the thesis, to be submitted no later than 2 years after the publication of the outcome of this examination, and then be re-examined for an MPhil. | [ ]  |
| [i] The candidate has not satisfied the requirements for the award of a PhD, should not be given a further opportunity to gain a research degree, and so should fail, with no award. | [ ]  |

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| **Section 5:*****Complete this section if you have recommended option “a” or “e” in Section 4, indicating that the candidate has met the requirements for an award.*** |
| Please select ONE of the following options.[ ]  The candidate is advised that no amendments to the thesis need be made before the final, hard-bound copy of the thesis is submitted.[ ]  The candidate is advised to make one or more minor typographical changes [and/or] one or more minor non-substantive changes to the thesis before submitting the final, hard-bound copy.If you selected the second option above, please list below the changes you advise the candidate to make. [Note that the changes are advisory, and so the Examiners are NOT expected to review the amended thesis before it is submitted.] |

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| **Section 6:*****Complete this section if you have recommended option “b” or “f” in Section 4, requiring the candidate to make minor amendments to the thesis.***Describe below exactly what the candidate is required to do to revise the thesis.*[This must be specified insufficient detail for it to be clear whether the student has successfully completed the required tasks.]*Select ONE option below to confirm which examiner[s] will consider and approve the minor modifications.[ ] Internal Examiner[s] only [this is the normal procedure].[ ] External Examiner[s] only.[ ] All Examiners. |

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| **Section 7:*****Complete this section if you have recommended option “c” or “g” in Section 4, requiring the candidate to make major amendments to the thesis.***Describe below exactly what the candidate is required to do.*[This must be specified insufficient detail for it to be clear whether the student has successfully completed the required tasks.]*Select ONE option below to indicate whether the candidate will be required to attend a further oral examination.[ ]  No.[ ]  Yes.[ ]  It depends upon whether we are able to make a firm judgement on the basis of the resubmitted thesis. The University’s regulations require the amended thesis normally to be assessed by the same team of examiners as for the initial examination. Select ONE option below to indicate, to the best of your knowledge, whether all the examiners will be in a position to assess the amended thesis and [if necessary] participate in the second examination.[ ]  All examiners will be in a position to examine the revised thesis.[ ]  The following examiner[s] are unlikely to be in a position to examine the revised thesis [*please insert names*]. |

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| **Section 8:*****Complete this section if you have recommended option “d” or “h” in Section 4, requiring the candidate to revise and resubmit the thesis and then be re-examined.***Describe below exactly what the candidate is required to do.*[This must be specified insufficient detail for it to be clear whether the student has successfully completed the required tasks.]*The University’s regulations require the re-examination normally to conducted by the same team of examiners as for the initial examination. Select ONE option below to indicate, to the best of your knowledge, whether all the examiners will be in a position to participate in the second examination.[ ]  All examiners will be in a position to participate.[ ]  The following examiner[s] are unlikely to participate [*please insert names*]. |

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| **Section 9:*****Your Signatures*** |
| Independent Chair |  |
| Internal Examiner |  |
| Second Internal Examiner [if appropriate] |  |
| External Examiner |  |
| Second External Examiner [if appropriate] |  |