



Graduate Studies Operational Procedures for research degrees in SETU

Academic Year 2024-2025

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1. Introduction

1.1 Introduction

This document outlines the operational processes associated the delivery of Masters by Research, Structured PhD and Traditional PhD programmes, as outlined in “South East Technological University (SETU) Research Degree Framework (all research degree types level 9 & 10)”¹. In particular, this document details (i) the roles and responsibilities of the stakeholders in the quality assurance structures for the delivery of research degrees in SETU, and (ii) the standard operational procedures associated with the principles of research degree delivery at SETU.

The aim of the process is to create a common system for the university (one university model) and to clearly specify the role of graduate studies in this process.

1.2 Structure for quality assurance and compliance of postgraduate research programmes at SETU

It is proposed that there will be two large interim Research Programme Boards² (boards that guide the research strategy of a faculty-level) that report a summary of research postgraduate activity to Academic Council. These Research Programme Boards will provide long term oversight of the Research Examination Boards, including progression and PhD Confirmation outcomes, conducted across multiple Schools/Faculties. Research Programme Boards will also provide reports to Academic Council on aspects of Postgraduate Research, as deemed necessary by the Academic Council. The Research Programme Boards will act in a strategic manner to develop Doctoral education in SETU, including the development of supervisor capacity, policies, and learner engagement and supports.

Individual research programmes (i.e. research and training plans) and associated learners are managed by their supervisory team in a particular academic department.

Research programmes and learners will be progressed at School/Faculty-level via Research Examination Boards (similar in operation to any other examination boards). Research Examination Boards oversee the lifecycle of the research learner. Learner progression and module results are approved at Research Examination Boards for ratification by Academic Council. As requested, Graduate Studies can provide consolidated reports on Research Examination Boards activity to Research Programme Boards. The reporting structure of Research Examination Boards and Research Programme Boards is presented in Figure 1.1.

¹ South East Technological University (SETU) Research Degree Framework (all research degree types level 9 & 10), Draft 2024.

² Interim until faculty ones are formed (faculties may move to their own RPBs at different paces) post the implementation of new faculty structures

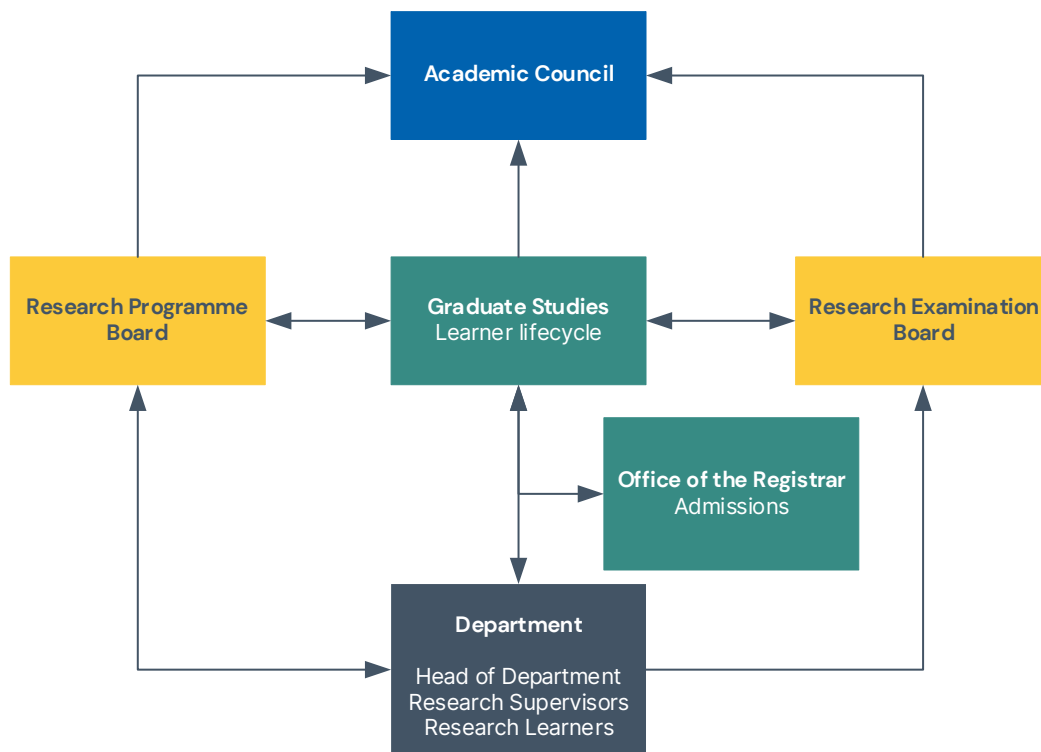


Figure 1.1. Reporting structure for REBs and RPBs, including Graduate Studies interactions and inputs.

1.3 Scope of document

This document outlines the structures and processes for the delivery of postgraduate Masters by Research³ and PhD⁴ programmes, including Structured and Traditional PhD programmes, in SETU. This includes quality control and assurance measures.

The roles and responsibilities of the stakeholders for research postgraduate education are outlined, followed by the operational structure for Research Examination Boards and Research Programme Boards and how these structures provide a quality assurance framework for the processes within a Research Postgraduate Programme. Finally, the processes for University-level list of modules and supervisors is outlined.

This document does not outline the requirements that are required by funding agents (including internal SETU funding sources).

³This document refers to a research Masters as one that is examined 100% by thesis (or an approved alternative production).

⁴ SETU's regulations for professional doctorates and other forms of emerging doctorates (for example, industry embedded) are not covered in this document.

2. Terms of reference

2.1 Stakeholders, roles and responsibilities

2.1.1 Learner

While the University acknowledges the requirement for inter-disciplinary research at a postgraduate level, it is essential that each learner has quality control framework associated with their programme. Therefore, each Learner will be registered on a Research Programme within the Department/School/Faculty of their Principal Supervisor. The responsibilities of the learner are to:

- Be familiar with the SETU Research Postgraduate Regulations.
- Agree, with their supervisory team, the research and training plan (including details of taught modules to be completed) that will be conducted, including methodology, tasks, deliverables, milestones and a timeline of work.
- Adhere to the approved research and training plan, including the approved timeframe for the research and completion of accredited modules.
- Successfully complete taught modules as part of the research degree.
- Meet with supervisory team on a regular basis, providing a progress update.
- Document supervisory team/learner meetings. Action points of each meeting should be written and agreed on by the supervisory team and the learner during the meeting.
- Act on feedback received from supervisory team on research completed, including written work.
- Adhere to University and any departmental-level requirements in relation to risk assessments, health and safety and equipment procedures.
- Identify and be familiar with University policies, regulations, and guidelines⁵, including Code of Conduct Practice in Research, Research Ethics requirements, Data Protection Policy, Intellectual Property Policy, Safety Statement, and Plagiarism Policy, for example.
- Comply with the processes associated with a Research Postgraduate Programme, including Yearly Progression Monitoring, funding reporting, PhD Confirmation, completion of taught elements of the programme. There may also be additional requirements as set out by a supervisory team, such as attendance at conferences, publication of papers or other methods of research dissemination.
- Raise any issues that arise from the learners prospective to their supervisory team in the first instance and failing this, at Department/School/Faculty level.
- Notify their relevant Department/School/Faculty and Graduate Studies of any changes to the programme of study (including research and training plans, mode of study or deferrals), via their supervisory team.
- Maintain research records that can be accessed and understood by others, ideally in compliance with FAIR principles⁶ (Findability, Accessibility, Interoperability, and Reuse); record maintenance must also be in accordance with SETU Data Retention Policy⁵ and conditions approved by the School/Faculty/University Research Ethics Committee, if applicable.

⁵ <https://www.setu.ie/about/setu-governing-body/policies>

⁶ <https://www.openaire.eu/how-to-make-your-data-fair>

2.1.2 Supervisory team

The main/core responsibility for a research learner's progress is at the supervisory team level. The actual content of the research degree and the development of the learner therein is the responsibility of the supervisory team. Therefore, the main decisions on the academic quality of the learner's work, learner progress and learner queries and complaints are largely made by the supervisory team. Research Programme Boards and Research Examination Boards are supports provided by the University to augment the learner's journey to successful completion of their programme of study. The roles of a supervisory team are to:

- Engage with the appropriate recruitment processes and recommend appropriate learners for particular research programme calls or by direct engagement, after initial qualification and English Language Requirement verification.
- Ensure an appropriate programme of research and training are in place for the learner.
- Ensure regular meetings occur and keep records of supervisory team/learner meetings. Action points of each meetings should be written and agreed on by the supervisory team and the learner.
- Conduct regular reviews of the learner's academic work.
- Commence early intervention where a learner's work is not up to the standard of the norms in the discipline (see role of research examination board and learner progression requirements later in this document).
- Where appropriate, manage the project resources.
- Divide work among the supervisory team.
- Participate in Research Examination Boards and follow up with the learner and Head of Department or Graduate Studies, as appropriate, on any recommendations of same.
- Responsible for learner queries and issues, as per the learner complaints policy. Engage with learners in line with policies, i.e. complaints policy.
- Responsible for connecting research learners to national and international research networks in the discipline and/or to practice-based institutions and networks as appropriate. Create appropriate communities of practice within School/Faculty and the University.
- Responsible, with other supervisors in the department, for the research learners' experience at a department and/or School/Faculty level in conjunction with Heads of same.

2.1.3 Head of Academic Department, or their nominee

The main/core role of a research learner's progress at the Head of Academic Department level, or their nominee, are as follows:

- Approve the admissions of learners to research programmes, after initial qualification and English Language Requirement verification, and supervisory team recommendations, including appropriate research and training plan within the first 6 months of registration.

- Approve a supervisory team which meets the requirements of South East Technological University (SETU) Research Degree Framework (all research degree types level 9 & 10)⁷, and in accordance with §7 “Supervisory team” below.
- Allocate academic resources to research degrees.
- Ensure research resources required for completion of the research programme are available to the learner e.g. via project budget or from within the department.
- Early intervention (see role of research examination board and learner progression requirements later in this document) where a learner’s work is not up to the standard of the norms in the discipline.
- Support learners in their academic journey and engage with University services, where necessary.
- Participate in Research Examination Boards and follow up with the learner as Head of Department (Graduate Studies may be involved here in some cases) on any recommendations of same.
- Responsible, with all supervisors in the department, for the research learners’ experience at a department and/or School/Faculty level in conjunction with Heads of same.
- Approve applications for deferrals, de-registrations and changes in mode of study at departmental level for allocation of resources and notify Graduate Studies of decision.
- Approve internal and external reviewers for PhD Confirmation process, and approve the nomination of examiners for the final examination to Academic Council

2.1.4 Research Examination Board

Research Examination Boards (REBs) can operate at various levels depending on the Faculty/School/Department structures, for example:

- School/Faculty level across campuses
- School/Faculty level on one campus
- Departmental level
- Across Schools/Faculties

It is the responsibility of the Head(s) of School/Faculty to ensure that all learners within their remit are processed by a single REB at minimum once a year.

The function of a Research Examination Board is as follows:

- Approval of module results for all faculty candidates.
- To consider the supervisors’ recommendation on progression or non-progression as the main input into decision at the Board, assuming all other regulations have been followed.
- To determine the progression status of research learners.
- To make any recommendations on the overall progress of learners to the Research Programme Board, as deemed appropriate.

⁷ South East Technological University (SETU) Research Degree Framework (all research degree types level 9 & 10), Draft 2024.

- Graduate Studies to provide an annual overall progression report to the Research Examination Board and to the Research Programme Board (statistical report).
- To ensure only learners whose progression is deemed satisfactory can progress. Learners that are deemed “Unsatisfactory” should be provided with a clear remedial plan with an agreed timeframe of work by the Head of Department and Supervisors. Note: Learners who are deemed “Unsatisfactory” will be ineligible to register for the next year of their programme.
- Recommend award for learner after successful completion of the final examination process.
- Submit broadsheets to the Office of the Registrar and Graduate Studies.

2.1.5 Research Programme Board

Initially, there will be two interim Research Programme Boards (RPBs) operating across the University as follows:

- Interim STEM (Science, Technology, Engineering and Mathematics) - corresponding to the Schools/Facilities of Science & Computing and Engineering.
- Interim AHSS+HS (Arts, Humanities, Social Science, Business, Education and Health Science) - corresponding to the Schools/Facilities of Business, Education & LLL, Health Science and Arts & Humanities.

The function of the two RPBs is as follows:

- The development, maintenance, review and evaluation of structured doctorate programme, including module development, structure of programme and/or appropriate training at School/Faculty level.
- The development of Professional Doctorates or other doctoral types, as appropriate.
- Review of faculty/school/department or any other unit’s research plans and monitor these on an appropriate basis.
- Monitor research degree performance and take action, as appropriate.
- Review of the overall performance of the research learner body i.e. progression rates, confirmation rates, retention rates, average time to completion and any other metric deemed appropriate by the Board.
- To consider and develop policies, if appropriate, on the reputation of the doctorate programme at faculty level, including quality of jobs (including research and faculty positions) obtained by graduates, international cooperation and participation in global doctoral networks, for example.
- Recommend approaches to learner engagement with peers and with the academic community for the departments/faculty unit supervising the learner.
- Recommend to faculty, Graduate Studies or Student Services learner supports that may need to be put in place.
- To consider and respond to the direct learner feedback provided by learner representatives on the Board. Evidence of closing the feedback loop should be apparent in the minutes of the meetings.
- Long term oversight of the quality of the examiners for the confirmation process and for final examination.
- Reporting to Academic Council and its subcommittees:

- Any programme changes would go through programme change processes and Academic Council.
- A report on PhD admissions, confirmations/transfers that have been approved in the REB.
- Provide an annual report to Academic Council and any other reports, as requested by the Academic Council. Lodge minutes of meetings with Academic Council, if requested. Make recommendations to Academic Council, as appropriate.

2.1.6 Graduate Studies Office

The Graduate Studies Office is a University-wide and University-level support structure for the delivery of Postgraduate Research Programmes across a range of disciplines. The primary roles and responsibilities of the Graduate Studies Office are as follows:

- Graduate Studies can be members of both Research Examination Boards and Research Programme Boards. If there are particular problems identified in quality review process in the operation of research programme boards or research examination boards, graduate studies can intervene to run the board for an appropriate timeframe as agreed by Academic Council.
- Management and delivery of Universal Pathway Modules, including registration of learners on the modules, processing of results at Examination Boards and the payment of lecturing hours.
- Universal path modules Examination Board will be convened by the Graduate Studies Office and the Learners' record updated accordingly.
- The updating of the Postgraduate register for any changes approved by Research Examination Boards, including changes to supervisory team composition.
- Maintain records and documentation associated with a learner's research programme, i.e. research and training plans.
- Management of documentation storage infrastructure for Research Examination Boards.
- Administrative management of the general lifecycle processes of Research Postgraduate Programmes.
- Facilitate Research Examination Board to provide reports to Research Programme Boards.
- Update of registration status of Research Postgraduate Learners to reflect decisions made by Research Examination Boards on the learners' eligibility to progress to the next year of study, as communicated to Graduate Studies from all Research Examination Boards.
- Promote doctoral education and research degrees at SETU.
- Benchmark the quality of services provided to SETU's doctoral learners compared to peer universities and provide recommendations to Schools/Faculties and the University as appropriate.
- Notify the Research Office of any changes in registration to a funded research learner.
- Facilitate the appointment of examiners for final examinations, as approved by Academic Council.
- Manage the final examination process, including viva voce arrangements.

- Collate the examiners' and independent Chairperson's reports and communicate the outcome of the examination process to the learner, their supervisory team, Head of Academic Department and their Research Examination Board Chairperson.

2.1.7 Office of the Registrar

Academic Registry facilitates learners, staff and other University functions in managing the academic life cycle, from recruitment and admissions, right through to graduation. The roles and responsibilities, for the structured PhD programme, are as follows (shared model with graduate studies compared to other programmes):

- Review and verification of academic qualifications for all perspective research postgraduate learners.
- Review and verification of proof of English Language Requirement for perspective research postgraduate learners, where necessary.
- Admissions of incoming research postgraduate learners.

2.1.8 Academic Council

Academic Council is responsible for all postgraduate research degree regulations. The roles and responsibilities of Academic Council in relation to research postgraduate programmes, as regulated and as part of its ongoing cycle, are as follows:

- Ratification of module results recommended by research examination boards.
- Receive and act upon reports from the Research Programme Boards, including admissions, retention rates, progression rates and final examination outcomes.
- Approval of examiners for final viva voce examination of a Research Programme, via Academic Council.
- Ratification of the results from a final viva voce examination as processed by the Research Examination Board.

3. Research Examination Boards

3.1 Membership

Membership of the Research Examination Board is presented in Table 3.1. All learners within a School/Faculty/Department will be represented at the Research Examination Board by at least one member of their supervisory panel. Every research learner must be processed at a Research Examination Board at minimum once per year.

Table 3.1. Composition of School/Faculty-level Research Examination Board.

<u>Research Examination Board</u>
<u>Head(s) of School/Faculty – (1 person to be designated chair or its nominee)</u>
<u>Head/Assistant Head of Graduate Studies – (role is independent University QA)</u>
<u>Head(s) of Department in School/Faculty – (1 person to be designated academic secretary)</u>
<u>At least one supervisor for each learner being reviewed</u>
<u>Recording Secretary – (provided by School/Faculty/Department and Graduate Studies (since Graduate Studies provide feedback to learner))</u>
External examiner

3.2 Meeting structure

Research Examination Board meetings can be convened for any of the following:

1. Review and approval of PhD confirmations and transfers.
2. Review of progression on research programme and decide on progression into the next year of study.
3. Recommend results on project and universal path modules of research postgraduate programme.
4. Recommend final result for the research programme, after final submission of an approved thesis, or equivalent.

3.3 Timing of meetings

Research Examination Board meetings can align with other examination board periods, i.e. January, June and September. A learner may appear at multiple examination boards throughout an academic year to allow for module results, confirmation and final examination results to be processed. Learners' research progress should take place prior to the commencement of the final semester of each registration year. Therefore, should a learner's progress be deemed unsatisfactory, they have one semester to implement feedback to become eligible to progress into the next year of their research programme. This is outlined in Table 3.2

Table 3.2. Timing for items to be processed through Research Examination Boards.

REB	September registered learners	January Registered learners
Yearly progression results	June and September for repeat (“unsatisfactory” learners	September and January for repeat (“unsatisfactory” learners
Module results	January, June, September	
PhD Confirmation/ Transfer results	January, June, September	
Final examination results	Any time	

3.4 Inputs-processes-outputs for Research Examination Boards

Inputs to a research examination board are as follows:

- Module results for project path modules via School/Faculty examination board (with external examiner).
- Module results for universal path modules via Graduate Studies pre-examination board (with external examiner).
- PhD Confirmation or Transfer form and examiner’s report(s).
- Supervisory team recommendation on progress, based on report submitted by learner and the approved research and training plan.

At the Research Examination Board meeting, the module results, PhD Confirmation or Transfer (if applicable) and the supervisory team recommendation for progression are approved.

The output from a Research Examination Board meeting is a signed Broadsheet submitted to the Office of the Registrar and Graduate Studies.

3.5 Appeals of Research Examination Board results

Examination results may be appealed on the basis of perceived substantive irregularity or inequity in the examination process or in the delivery of the prescribed curriculum in accordance with criteria approved and ratified by the Academic Council.

The deadline for appeals for each semester is updated by the Office of the Registrar and publicised on the SETU website.

A learner who wishes to appeal an examination result must do so online setting out the grounds for the appeal in full to the Registrar. Upon receipt of a written appeal, the Registrar shall refer the matter to the Examinations Appeal Board, and shall inform the relevant Head(s) of Department and School that an appeal has been lodged.

4. Research Programme Boards

4.1 Membership

Two Interim Research Programme Boards will exist across the University; one will oversee STEM (Science, Computing and Engineering) postgraduate research and the other will oversee AHSS+HS (Business, Education, Health Science and Humanities) postgraduate research. The composition of membership of the Boards is provided in Table 4.1.

Table 4.1. Composition of members of two interim University-level Research Programme Boards.

Interim STEM RPB	Interim AHSS+HS RPB
Heads of School/Faculty of Science and Computing and Engineering (1 chair who provides agenda and secretarial support)	Heads of School/Faculty of Business, Education & LLL, Health Science and Arts & Humanities. (1 chair who provides agenda and secretarial support)
1 administrative minute taker supplied by School/Faculty	1 administrative minute taker supplied by School/Faculty
Head/Assistant Head of Graduate Studies	Head/Assistant Head of Graduate Studies
Heads of Department in Science and Computing and Engineering	Heads of Department in Business, Education & LLL, Health Science and Arts & Humanities.
Two representative supervisors from each department/unit across the schools/faculties	Two representative supervisors from each department/unit across the schools/faculties
If there is no supervision done at the department/unit level then there is no need to have representation	If there is no supervision done at the department/unit level then there is no need to have representation
Four representative learners from School/Faculty School/Faculty of Science and Computing and Engineering and across campuses	Four representative learners from School/Faculty of Business, Education & LLL, Health Science and Arts & Humanities and across campuses.

Once new faculty structures are formed and ready, or as capacity builds across the University, smaller School/Faculty-level Research Programme Boards will be developed. The composition of membership of the Boards is provided in Table 4.2.

Table 4.2. Composition of members of School/Faculty-level Research Programme Boards.

Faculty RPB
Head(s) of School/Faculty – chair, agenda setting and provision of secretariat 1 administrative minute taker Vice Chair – person responsible for research/research degrees in the faculty if post exists
Head/Assistant Head of Graduate Studies if requested to attend on item on agenda
Heads of Department/unit in School/Faculty (place where learners are registered).
Representative supervisors from School/Faculty – minimum of 4 and adhering to gender balance as per Academic Council norms
Representative learners from School/Faculty – minimum of two and adhering to gender balance or other norms laid down by Academic Council for learner representation.

Faculties with large numbers of learners (greater 70) should consider adding to the size of supervisor and learner representation. Additional staff can be seconded to RPB for specific tasks, for example, review of programme path modules, development of a new doctorate programme.

4.2 Meeting structure

At least two Research Programme Board meetings should take place per academic year. These will be announced via email to all members at least 5 working days prior to the meeting.

The Chairperson is a Head of School/Faculty or a nominee.

Research Programme Board meeting will have the following on their regular agenda, as a minimum requirement:

1. Minutes
2. Matters arising
3. Review of Graduate Research Admissions
4. Review of Graduate Research Confirmations, Transfers and Progressions
5. Review of Graduate Research Changes to registration
6. Review of Graduate Research Changes to supervisory team
7. Learner feedback

Other additions may include the following depending on the work plan of the board:

- Review of structured doctorate programme, including module development.
- Review and update of approved list of supervisors.

- Development of Professional Doctorates.
- Approve faculty/school/department or any other unit's research plans.
- Review of doctorate education in Schools and/or Departments.
- Review of the overall performance of the research learner body i.e. progression rates, confirmation rates, retention rates, average time to completion.
- Supervisor training or any other research training requirements.
- Review the reputation of the doctorate programme at faculty/school/department level.
- Learner engagement with peers and with the academic community.
- Learner services/learner supports that may need to be put in place.
- Direct learner feedback provided by learner representatives on the Board with evidence.
- Response to learner feedback should be apparent in the minutes.
- Review reports provided for external peer review or for Academic Council.

4.3 Inputs-processes-outputs for Research Programme Boards

Decisions made at School/Faculty-level Research Examination Boards are reported to the Research Programme Board via a statistical report provided by Graduate Studies.

Graduate Studies can provide statistics on research postgraduate programmes, similar to those displayed in APPENDIX B. Details here can include details of timings of processes within the postgraduate lifecycle and confirmation, progression and final examination success rates. The Research Office can also be requested to contribute details on research postgraduate funding sources and success rates by School/Faculty.

The Research Programme Board can also review specific details of decisions at Research Examination Boards, such as the reasons for changes to research programme details, or admissions/confirmation/examination trends.

The strategic nature of the Research Programme Board can mean that the exact process for an agenda item is at the discretion of the Chairperson (for example, a report prepared to review the project path modules provided to learners). However, ultimately, the Research Programme Board reports to Academic Council and must maintain records, including minutes and processes used, if required by Academic Council.

5. Research programme structures

5.1 Masters by Research

A Masters by Research programme in SETU is 24 months for full-time registration, or 48 months for part-time registration. The minimum length of registration for a Masters by Research is 12 months for full-time registration and 24 months for part-time registration.

The timeline with the required processes for full-time registered Masters by Research learners is depicted in Figure 5.1.

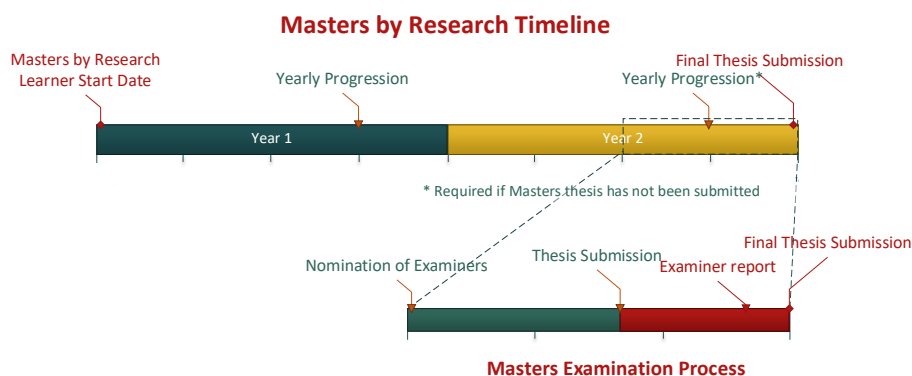


Figure 5.1. Timeline and required processes for full-time registered Masters by Research learners.

5.2 Structured PhD

A Structured PhD programme in SETU is 48 months for full-time registration, or 96 months for part-time registration. The minimum length of registration for a Structured PhD is 36 months for full-time registration and 72 months for part-time registration.

The timeline with the required processes for full-time registered Structured PhD learners is depicted in Figure 5.2. This timeline includes the requirements for taught module completion within the Structured PhD.

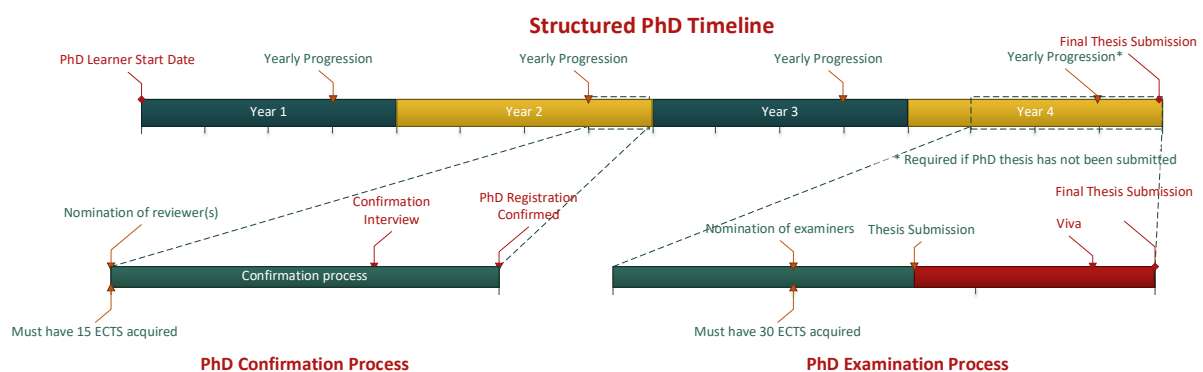


Figure 5.2. Timeline and required processes for full-time registered Structured PhD learners.

Learners who initially register on a Masters by Research programme can transfer onto a Structured PhD register. This timeline is depicted in Figure 5.3.

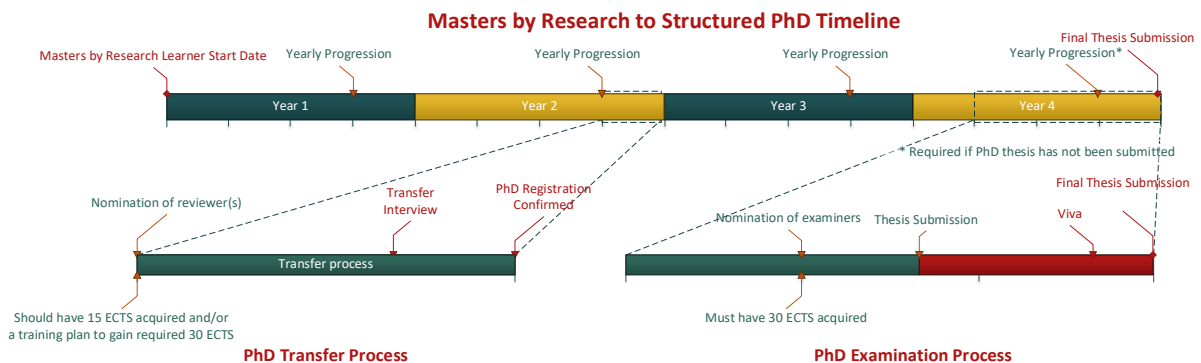


Figure 5.3. Timeline and required processes for full-time registered Masters by Research learners who transfer to Structured PhD register.

5.3 “Traditional” PhD

Learners who were admitted onto Traditional PhD programmes prior to May 2022 are permitted to complete this legacy programme. However, no new admissions to Traditional PhD programmes are permitted.

A Traditional PhD programme in SETU is 48 months for full-time registration, or 96 months for part-time registration. The minimum length of registration for a Traditional PhD is 36 months for full-time registration and 72 months for part-time registration.

The timeline with the required processes for full-time registered Traditional PhD learners is depicted in Figure 5.4.

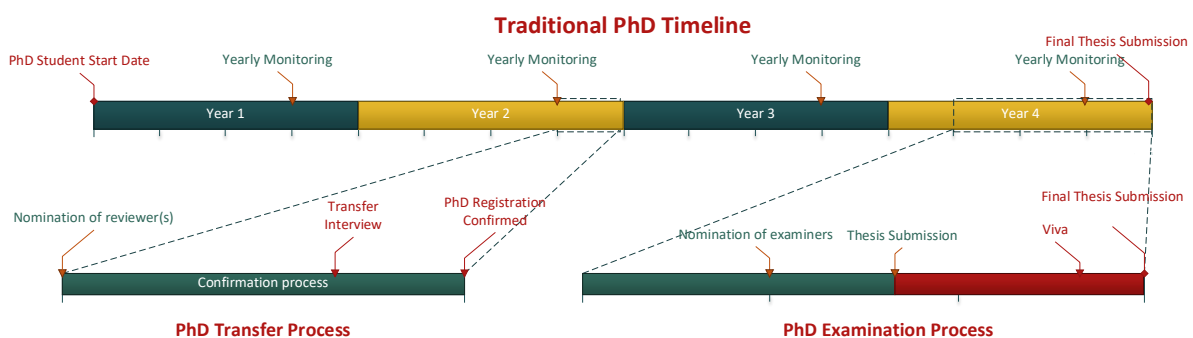


Figure 5.4. Timeline and required processes for full-time registered Traditional PhD learners.

5.4 Outline of processes and related documents

Table 5.1 outlines the various processes associated with the different research programmes at SETU. Table 5.2 provides details of the forms, approvals, and reporting and recoding structures associated with each of these processes.

Table 5.1. Process requirements for research programmes at SETU.

Process	Masters by Research	Structured PhD	Traditional PhD
Admissions	✓	✓	N/A only legacy learners are registered on this programme
Research and Training Plan	✓	✓	✓
Taught elements (30 ECTS)		✓	
Yearly progression	✓	✓	✓
PhD Confirmation		✓	
PhD Transfer	✓*		✓
Final Examination	✓	✓	✓
Changes to registration status	All learners can apply for a deferral, deregistration or a change in mode of study.		
Changes to research programme details	All learners, along with their supervisory team can apply to make changes to their programme details e.g. supervisory team composition.		

* Masters by Research learners can transfer to a PhD register through the PhD Transfer process, if they wish, as shown in Figure 5.3.

Table 5.2. Outline of forms related to processes and reporting and recording structure.

Process	Form	Contents of report	Report/submit to	Document record location
Admissions	SETU-GS-01	Applicant reference number, Supervisory Panel, Programme and mode of study.	RPG admissions	Registry and student information system
Research and Training Plan	SETU-GS-02	Milestones, deliverables, timelines.	Graduate Studies	Graduate Studies
Taught elements	N/A	Broadsheet at REB.	Office of the Registrar and Academic Council	Student information system
Yearly Progression	SETU-GS-03 SETU-GS-04	Learner report on progress and supervisory team recommendation.	Research Examination Board	Graduate Studies and student record system
Yearly Progression	N/A	Broadsheet at REB	Office of the Registrar and Academic Council	Student information system
PhD Confirmation/ Transfer	SETU-GS-05	Nomination of reviewers.	Graduate Studies	Graduate Studies
PhD Confirmation/ Transfer	SETU-GS-06	Learner number and name, Supervisory Panel and appropriate forms fully complete.	Research Examination Board	Graduate Studies and student information system
PhD Confirmation/ Transfer	N/A	Broadsheet at REB.	Office of the Registrar and Academic Council	Student information system
Final Examination	SETU-GS-07	Nomination of Examiners for final examination approved by Head of Department.	Academic Council via Graduate Studies	Graduate Studies
Final Examination	SETU-GS-08	Submission of thesis for examination.	Graduate Studies	Graduate Studies
Final Examination	N/A	Submission of final hardbound thesis.	Graduate Studies	Graduate Studies
Final Examination	N/A	Broadsheet at REB with recommendation for award of degree.	Office of the Registrar and Academic Council	Graduate Studies
Deferral	SETU-GS-09	Deferral timeline approved by academic Head of Department.	Graduate Studies	Graduate Studies and student information system

Process	Form	Contents of report	Report/submit to	Document record location
Changes to research programme details, including registration details	SETU-GS-10	Change required and approved by academic Head of Department.	Graduate Studies	Graduate Studies and student information system

6. Admissions

6.1 Requirements

There are two paths for a learner to be admitted to a research postgraduate programme:

1. Competitive funded projects with a potential interview process.
2. Direct application to the research programme via online application portal for self-funded or non-competitive funded (i.e. learner has acquired funding in their own name) projects.

In both cases, the learner must make the appropriate application to SETU and follow the appropriate process. Every learner must meet the following requirements to be considered:

- Qualifications must meet the minimum entry requirements or an application of recognition of prior learner must be approved.
- Proof English language proficiency must meet SETU's English language requirements

The Head of Department/unit and/or School/Faculty must also ensure:

- The suitability of applicant for the programme in terms of experience, skills and knowledge.
- The suitability of the project for the award sought.
- Correct supervisory panel in place.
- Other resources required, such as lab space and/or equipment.

6.2 Overview of admissions process

Figure 6.1 presents the process for admissions onto a competitive funded project and a self-funded project.

1. Competitive funded projects with an identified supervisory team are approved for advertisement by the Head of Department (department of the primary supervisor). Funded opportunities are advertised on the SETU website and other appropriated websites e.g. FindAPhD and Euraxess by the Research Office.
2. Prospective learners can apply to:
 - a. Competitive funded projects by completing the Research Applications Form and submitting it along with accompanying documents to Research Postgraduate Admissions.
 - b. Self-funded or non-competitive funded projects by competing the online postgraduate admissions portal (PAC) application process.
3. Eligibility checks for English Language competency and qualifications are completed by Research Postgraduate Admissions.
 - a. Ineligible candidates are informed of the outcome.
 - b. Primary supervisor is notified of the eligible candidate(s).
4. For competitive funded projects, Research Postgraduate Admissions supply an interview control sheet to the primary supervisor.
5. Once the primary supervisor has been notified of eligible candidate(s), they can:
 - a. Convene and interview panel for competitive funded project, who will shortlist and interview candidates. A list of shortlisted and non-shortlisted candidates is to be returned to Research Postgraduate Admissions via the

interview control sheet. The interview panel must adhere to funding guidelines; it is recommended that members interview panels have completed interview training and that the interview panel is gender balanced, with at least one member independent of the project. Once the interview is complete, the interview score sheet, clearly indicating the successful, panelled and unsuccessful candidates must be signed by members of the interview panel.

- b. For non-competitive funded and self-funded projects, the requirement for interviews is at the discretion of the Head of Department. If an interview takes place, the records of the interview are to be kept within the Department.
6. When a candidate has been selected, the primary supervisor must complete and sign the Admissions form SETU-GS-01. This form must also be signed by the Head of Department, who in doing so, approves the project area of research (as presented in terms of a proposed title), supervisory panel (in accordance with §7.1 below) and the proposed learner to be admitted.
7. The primary supervisor then submits the following to Graduate Studies:
 - a. The signed interview control sheet and Admissions form SETU-GS-01 for competitive funded projects.
 - b. The submitted online postgraduate admissions portal (PAC) application and Admissions form SETU-GS-01 for non-competitive funded and self-funded projects.
8. Graduate Studies check the supervisory team meet the requirements set out in §7.1 below against the SETU Research Postgraduate Supervisor List, described in §7.2 below. If the supervisory team meet the requirements, Graduate Studies send the documents to Research Postgraduate Admissions. If the supervisory team do not meet the requirements, or if there are any clarifications required, Graduate Studies must consult with the Head of Department before proceeding.
9. Research Postgraduate Admissions notify the candidates of the outcome and issues a letter of offer to the successful candidate.
 - a. If the candidate accepts the offer, they are sent a registration link by Research Postgraduate Admissions and, for funded projects, a research agreement is sent by the Research Office.
 - b. If the candidate does not accept the offer, an offer is made to the next candidate who was panelled as part of the interview process. If no such candidate exists, then no further offer is made.
10. Once a new research learner is admitted and registers, Graduate Studies will set up a folder structure (using an online infrastructure, such as Teams) for the recoding of files associated with their studies in SETU, this will be referred to as the Graduate Studies Learner Folder. Access to the Graduate Studies Learner Folder will be restricted to members of staff in Graduate Studies for day-to-day access.
11. Graduate Studies will arrange induction events for all new research learners to attend. At these events, the requirements of research degrees as well as SETU services will be outlined to the learners.

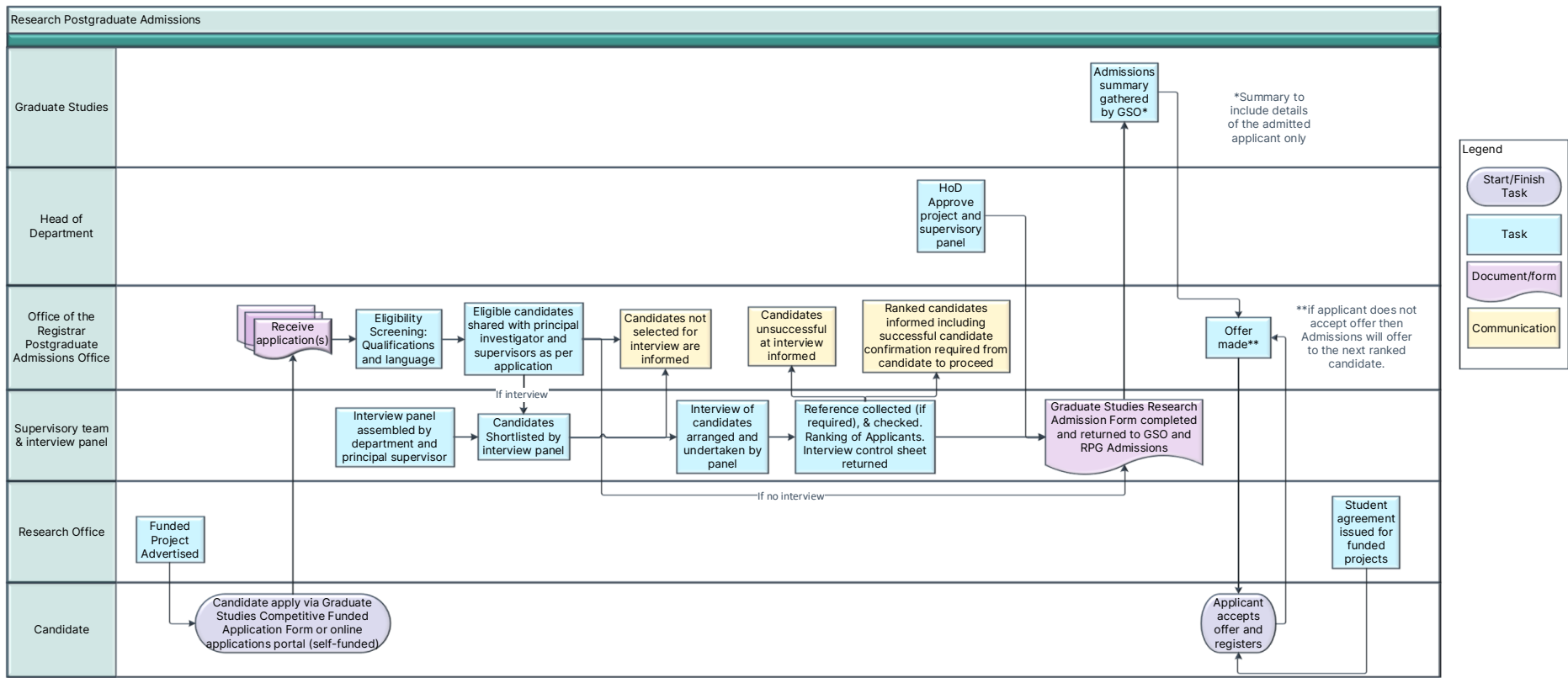


Figure 6.1. Research Postgraduate Admissions process.

6.3 Quality checks, responsibilities and oversight

The responsibility for qualification checks and English Language requirements is in the Office of the Registrar. All other quality checks are by the supervisory panel and/or Head of Department, as shown in Table 6.1.

Table 6.1. Responsibilities for quality checks during the admissions process.

Quality	Check	Responsibility for check	Timing of check in the process
Application to University	Admissions form SETU-GS-01 must have a reference to the application made by the candidate to the programme	Supervisory team	Before consideration for admissions
Applicant's Qualifications	Minimum 2.1, as outlined in regulations.	Office of the Registrar	Before consideration for a programme
Applicant's English language requirements	As outlined by SETU policy/guidelines.	Office of the Registrar	Before consideration for a programme
Suitability of applicant for the Programme	Suitability to the programme under the following headings: Experience, Knowledge, Personal Skills. Evidence of this is provided via interview score sheet. This does not preclude other mechanisms, for example, where a learner develops an idea prior to application with a supervisor in mind.	Supervisory panel	Interview and reference letters
Supervisory team meet the requirements	Supervisory panel are on the SETU Approved Supervisory List and the principal supervisor is approved to act in this role.	Graduate Studies	Prior to admissions
Resources required	Time allocation off timetables. Modules for the project specific taught elements of the programme. Sufficient expertise for internal examiners (confirmation and viva). Research resources.	Head of Department	Prior to admissions
Registration information	Admissions form (all required information is provided).	Supervisory panel and Head of Department	Prior to letter of offer

Quality	Check	Responsibility for check	Timing of check in the process
Letter of offer	Letter of offer sent to candidate and acceptance of offer returned by candidate.	Office of the Registrar Research Postgraduate Admissions	Before link to register is sent
Registration	Candidate must login and register as an SETU learner.	Learner	Before commencement of programme
Folder set up for learner file record	Graduate studies to set up folder structure for files associated with the learner lifecycle.	Graduate Studies	Within the first semester of registration
Suitability of the programme for the award	Detailed research and training plan, outlined in §8 below.	Supervisory team	Within the first 6 months of registration

6.4 Changes to programme of study

Learners can change the following details to their programme of study with the approval of their supervisory team and Head of Department via SETU-GS-10 Research Postgraduate Changes to Registration Details Form.

- From a Structured PhD programme to a Masters by Research programme.
- Mode of study, i.e. full-time to part-time or vice versa.
- Supervisory team.
- Withdraw/de-register from the programme.

Learners can also apply for a deferral of their studies via SETU-GS-09 Research Postgraduate Deferral Form. Retrospective deferrals will not be granted.

Graduate Studies will change the learner's registration details on the student information system.

7. Supervisory team

7.1 Requirements

It is a priority of the University to offer post graduate learners the highest quality of academic supervision. To ensure the qualifications and suitability of supervisors and advisors, Graduate Studies shall compile and maintain a registry of approved supervisors and advisors.

A supervisory team must consist of:

1. A principal supervisor who is a member of staff in SETU and have a qualification equal to or higher than that being sought by the learner.
2. At least two supervisors e.g. a principal supervisor and a co-supervisor. It is recommended SETU supervisors must hold a research degree equal to or higher than that being sought by the learner, or demonstrate substantial research contribution in the area of research being conducted.
3. At least one supervisor who has supervised a learner to completion of a research degree equal to or higher than that being sought by the learner e.g. for a Masters by Research, one supervisor must have supervised one of the following to completion (a) a Masters by Research, (b) PhD, (c) Professional Doctorate. Completion is the approval of the award by Academic Council.
4. At least one supervisor who has a contract of employment in SETU that is greater than the expected duration of study of the learner.

Co-supervisors may be external SETU and can be from other academic institutions or non-academic organisations. Such co-supervisors should have experience in the area of research and be engaged in the project.

In addition to supervision roles on a supervisory panel, there may also be advisors. Advisors can be internal SETU members of staff or from external academic or non-academic organisations who act in an advisor manner to the supervisory team and/or some or all of the project.

It is advised that a supervisor team agree among themselves the roles, responsibilities and expectations within the team.

In order for any person to serve as a supervisor for a research learner, they must be approved by their Head of Department via the SETU Research Postgraduate Supervisor List.

7.2 University list of approved supervisors

7.2.1 Process

The Heads of Department in conjunction with the Heads of School/Faculty shall provide a list of eligible (and willing) supervisors for each Department to Graduate Studies (see example in Figure 7.1) specifying the supervisors names, qualification and if the experience of research supervision to completion, if applicable.

Department of XYZ, Head of Dapt: Dr ABC				
Name	Qualification level	Supervised PhD to completion	Supervised DBA to completion	Supervised Masters by Research to completion
John Doe	PhD	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Jane Doe	PhD	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Figure 7.1. Example of SETU Research Postgraduate Supervisor List from a Department.

To facilitate the addition or deletion of eligible supervisors, Graduate Studies will review the SETU Research Postgraduate Supervisor List with Heads of Departments at least twice per academic year.

7.3 Quality checks, responsibilities and oversight

The responsibility for the approval of supervisory teams, as well as the review maintenance of the SETU Research Postgraduate Supervisor List is shown in Table 7.1.

Table 7.1. Responsibilities for quality checks for supervisory team approval, and review maintenance of the SETU Research Postgraduate Supervisor List.

Quality	Check	Responsibility for check	Timing of check in the process
Supervisory team meet the requirements set out in §7.1 above	That criteria 1-4 in §7.1 are met.	Graduate Studies	Before approval of supervisory team as part of admissions or change of details processes.
Supervision capacity within a Department or School/Faculty	A Research Programme Board, at its discretion, may audit the Supervisor/Advisor Register to ensure quality of supervision within a School/Faculty.	Research Programme Board	As part of RPB remit - no set timing.
SETU Research Postgraduate Supervisor List	Ensure that the SETU Research Postgraduate Supervisor List is up to date and accurate	Graduate Studies and Head of Department	At least twice per year

8. Research and training plan

8.1 Requirements

Every research learner is required submit an approved research and training plan to Graduate Studies within the first 6 months of their registration.

The research plan be sufficiently granular to allow for progress to be measured against and assessed. The plan must be updated if there is a deviation from the agreed plan. Details that are recommended as part of the research plan include:

- Aim, Objectives and/or research questions.
- Background, context and or relevance to the literature.
- Proposed methodology or research plan including (but not limited to):
 - Research workplan
 - Milestones and/or deliverables
 - Gantt chart or other indication of planned timing of project

The training plan should include the accredited modules that the learner will undertake as part of a Structured PhD, if relevant, and also the unaccredited planned training, both formal and informal. The timing of such planned training must also be included in terms of a Gantt Chart and/or other indication of planned timing within project.

The research and training plan must be approved (signatures) by the supervisory team and Head of Department (approval of facilities, space and/or resources, as applicable to the research area).

The research and training plan will be used to assess progress; therefore, an up-to-date approved research and training plan must be submitted to Graduate Studies if there are any changes to the project.

8.2 Overview of process

1. Graduate studies will inform research learners of the requirement of the submission of an approved research and training plan to Graduate Studies at induction events and also by email and via Virtual Learning Environment announcements within the first month of their registration.
2. Graduate Studies will maintain an online submission portal for learners to submit their approved research and training plan. This will automatically notify Graduate Studies, the learner and the primary supervisor of the submission.
3. Graduate Studies verify that the plan has been approved by (signed off), as detailed in SETU-GS-02 SETU Graduate Learner Detailed Research and Training Plan Template.
 - a. Once Graduate Studies verify that research and training plan is approved by the learner, supervisory team and Head of Department, they will upload the file to the Graduate Studies Learner Folder that was set up as part of the Admissions process outlined above. The learner and primary supervisor will be notified by email that the approved plan has been recorded.
 - b. If the research and training plan is not appropriately approved, Graduate Studies will email the learner and primary supervisor to advise that the research and training plan has not been accepted and that it must be resubmitted.

4. Learners must submit an approved research and training plan within the first 6 months of their registration.
 - a. If an approved research and training plan is not submitted to Graduate Studies within this timeframe, Graduate Studies will email the learner (with the primary supervisor in Cc) to issue a probationary notice, warning that failure to submit an approved Research and Training Plan can result in the learner being ineligible to register for the next year of their research programme.
5. After the submission of the initial approved Research and Training Plan, a learner can submit an updated approved Research and Training plan using the same process outlined above.

8.3 Guidance for supervisors on managing research postgraduate projects

8.3.1 Record of progress

It is advised that supervisory teams maintain a record of supervisor-learner meetings which can be written by the learner and/or supervisory team prior to and during the meeting, and then reviewed and signed by all parties at the next meeting (or for example, by email).

Learner progression is monitored on a yearly basis through Graduate Studies. However, it is advised that supervisory teams record progress on a more regular basis (i.e. monthly or quarterly, at the discretion of the supervisory team) via an action plan, in which the expectations for the upcoming period are agreed and a record of targets/tasks/actions met or incomplete is maintained. An example of the detail that can be recorded as part of an action plan be recorded is presented in

Table 8.1; however, the content and layout of such a document is at the discretion of the supervisory team. This document should be accessible to both the learner and supervisory team.

In addition to project-level records (in addition to the above would include detailed academic commentaries on work submitted by the learner), the supervisory panel and learner also have official records of progress, as outlined in Yearly Progression below.

Funded projects will also have progress reporting requirements to the funding agent(s).

Table 8.1. Example of record of supervisory team action plan meeting with learner.

Date:	Click or tap here to enter text.	Start time:	Click or tap here to enter text.
Location:	Click or tap here to enter text.	Finish Time:	Click or tap here to enter text.
Supervisors present:	Click or tap here to enter text.		
Tasks completed since the last meeting			
1.			
2.			
Tasks not completed since the last meeting (include revised timeline for completion)			
1.			
2.			
Tasks for next meeting			
1.			
2.			
3.			

8.3.2 Recording and managing inadequate progress

The initial document required to measure progress is a detailed research plan with sufficient granularity to allow progress to be tracked, as detailed above. This, along with regular meetings with a written record of progress, indicating tasks completed/not completed and tasks required for the next meeting are highly important when managing inadequate progress. Any significant changes to the research plan should be processed using a change management process, which includes the submission of an updated research plan that has been signed off by the supervisory panel.

Feedback to the learner on any issues relating to progress should be comprehensive and explicit in terms of action-based tasks required and timelines or specific changes required to written work with and expected timeline for implementation of the feedback. However, it must be noted that the solution to a lack of progress should not require a significant time input from the supervisory team (i.e. supervisors should not spend hours formulating feedback). Meeting notes based on the example presented in Table 8.1 and/or notes on written work submitted should act as the main points of discussion of feedback with the PhD researcher with any lack of progress detailed.

Where lack of progress has been noted and/or feedback has not been implemented by the learner, this should also be recorded. Further advice should be provided to the PhD researcher on what is required to bring the work up to standard.

Support for learners who have difficulties in progressing may include additional meetings, signposting to relevant literature or to specific training such as credit-based modules, library supports or information training sessions organised by Graduate Studies. Advice and support measures should also be recorded, and the Head of Department and/or Graduate Studies can be consulted in relation to appropriate advice and support.

Where sustained feedback and support, including training, does not result in sufficient improvement, possible reasons for this should be discussed with the PhD researcher and recorded in writing, including signatures.

In the formal structure for research postgraduate learner, progression is assessed through the Yearly Progression Process, as described below. However, outside of this formal structure, if a supervisory team deem the progress of a learner unsatisfactory, and if sufficient record of the lack of progress is evident, the learner can agree to change from a PhD programme to a Masters by Research degree, or to deregister from the programme.

If a learner does not choose to change from a PhD programme to a Masters by Research degree, or to deregister from the programme due to lack of progress, the Head of Department can send an email to the learner (with the primary supervisor in Cc) indicating that there are concerns regarding the lack of progress by the learner on the programme and warning that failure to progress in accordance with the agreed Research and Training Plan will result in the learner being ineligible to register for the next year of their research programme.

9. Taught elements of a of Structured PhD Programmes

9.1 Programme schedule and requirements for Structured PhD Programmes

Learners in all Schools/Faculties can partake in Universal Pathway Modules that are centrally organised by Graduate Studies. Of these, the Research Integrity and Ethics module is mandatory as part of a Structured PhD course.

Each School/Faculty also has a suite of approved Project Pathway Modules that learners within that School/Faculty can avail of.

The modules that a learner completes must be agreed with the supervisory panel as part of the training plan, including the timing of when the modules will be successfully completed by the learner.

While there is no specific set number of modules that a learner must completed from either the Universal Pathway Module list or the Discipline-specific Pathway Module list, it is advised that the choice is balanced and consider the research project and the learner's needs in relation to transferable skills.

At the time of PhD Confirmation, a learner must have at least 15 ECTS completed. At the time of nomination of examiners for the final PhD examination, a learner must have 30 ECTS completed.

A Masters by Research learner who chooses to transfer to a Structured PhD programme must include an updated training plan as part of this process indicating their plan to achieving 30 ECTS by the time of nomination of examiners for the final PhD examination. In this case, it is advised that the learner should have completed at least 15 ECTS at the time of the PhD Transfer.

Traditional PhD learners are not required to completed accredited modules.

Masters by Research learners can choose to complete accredited modules, but they are not a requirement of the programme.

A full list of Universal Pathway Modules and Project Pathway Modules is provided in APPENDIX B.

9.2 Process

Module results are processed by Research Examination Boards in parallel with the yearly progression process outlined below.

The processes related to the delivery of taught elements of a Structured PhD are broken into three stages:

1. Registration on modules
 - a. Graduate studies notify learners of the Universal Pathway modules and the associated schedule and registration details for the upcoming academic semester.
 - b. Schools/Faculties can let learners know about discipline modules as in (1) above or by other appropriate means for the School/Faculty.

- c. Learners sign-up and register for modules in accordance with their training plan.
 - i. If the module is a Universal Pathway Module, Graduate Studies registers the learner on the CRN.
 - ii. If the module is a Project Pathway Module, the learner is registered on the CRN by the School/Faculty.
2. Delivery of modules
 - a. The module is delivered, during which, the learner is expected to engage with the course and successfully complete assignments and course work.
 - b. Graduate Studies engage with timetabling and Heads of Department
3. Processing of results
 - a. The lecturer grades the course work and submits the results for Universal Pathway Modules as per other taught modules as part of taught programmes.
 - b. Graduate studies call a Universal Pathway Module Examination Board meeting with the Universal Pathway Module lecturers and external examiner to confirm the results, receive feedback on modules.
 - c. A Research Examination Board is called in the School/Faculty/Department, at which, module results and progression are considered via broadsheets.
 - d. Broadsheets of module results are submitted by the School/Faculty office to the Office of the Registrar. Academic Council ratifies the results and the results are issued online to the learner by Examinations Office.

9.3 External modules

Learners can complete externally-provided, accredited postgraduate level modules as appropriate. Modules cannot be approved if they contributed to, or are intended to contribute towards another Major Award (e.g. Masters, PGDip or Level 9 Certificate). Once the student(s) has/have completed the module, they should provide to the Graduate Studies Office a copy of the formal notification/transcript from the external organisation indicating that the module was successfully completed and that a specific number of ECTS credits was awarded.

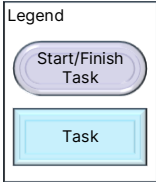
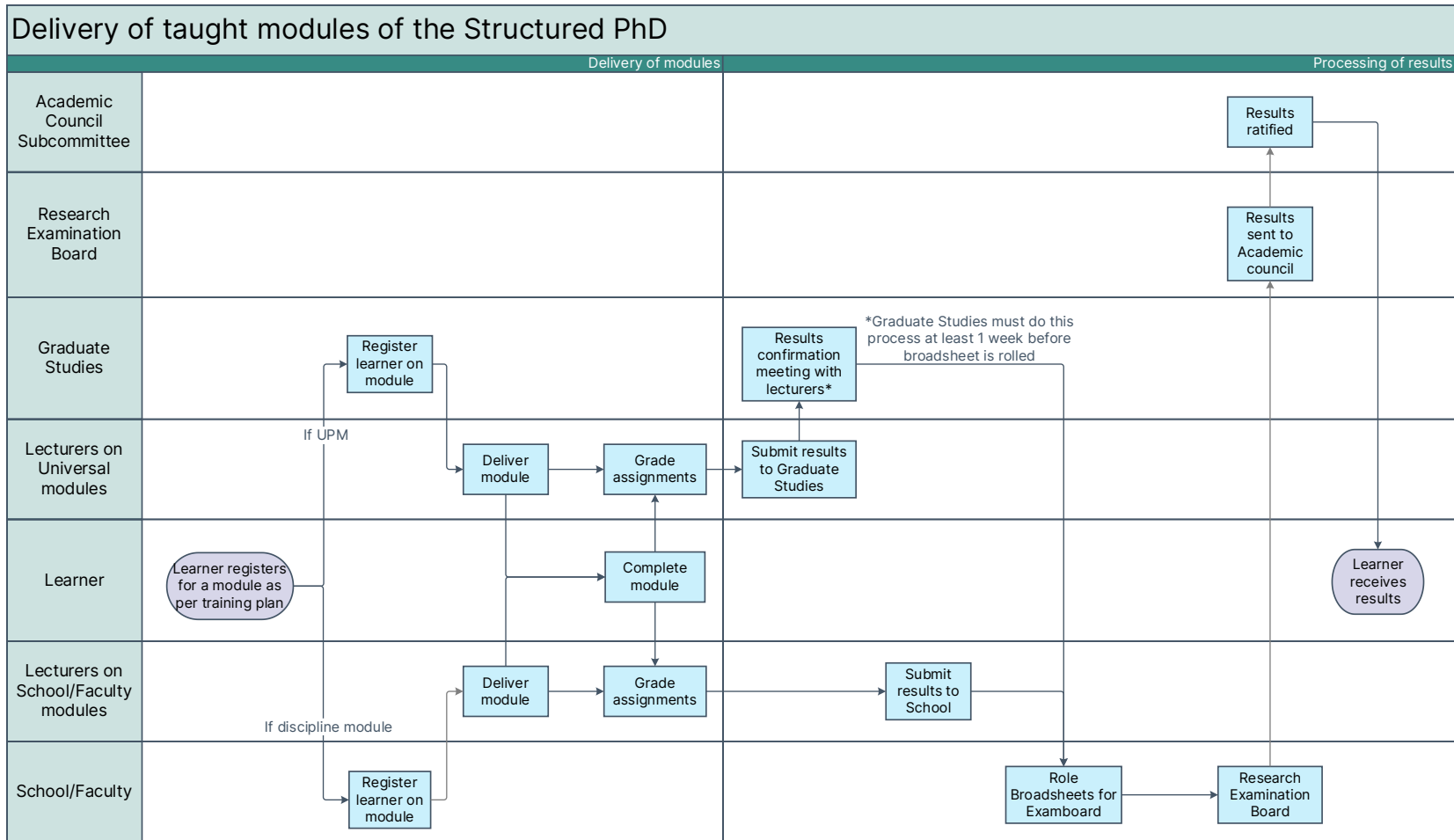


Figure 9.1. Function level process map for the delivery of taught module for the Structured PhD programme.

10. Yearly Progression

10.1 Targets and timelines for a Structured PhD and master programme

All PhD and Research Masters projects differ and therefore, it is difficult to specify a definitive timeline that is suitable for all learners. The specific details of a project must be agreed between the supervisory panel and the learner. This can include tasks, such as seeking ethical approval, risk assessment of field-based activities, or details of lab studies, which differ greatly depending on the field of study. However, all learners must adhere to the timelines of processes set out by the academic regulations and the frameworks around quality assurance of the Structured PhD and master programme. Table 10.1 presents the timelines:

Table 10.1. Research postgraduate timelines based on a full-time learner.

Process	Timing PhD Learner	Timing Masters by Research Learner
Learner Monitoring and registration Semester 1	End of first Semester of programme	End of first Semester of programme
Learner Monitoring Year 1	End of first year of programme	End of first year of programme
Confirmation	Year 2 of programme	-
Learner Monitoring Year 2	Final semester of second year of programme – not required if learner is doing confirmation on time	Final semester of second year of programme – not required if learner is completing on time
Learner Monitoring Year 3	Final semester of third year of programme	-
Learner Monitoring Year 4	Final semester of fourth year of programme – not required if learner is awaiting viva voce	-
Examination	End of programme – 48 months end (4 years)	End of programme – 24 months end (2 years)

10.2 Requirements

- Learner report on progress, including research and training.
- Supervisory report on progress, which includes recommendation to Research Examination Board.

In general, the guidance for showing progress is presented in Table 10.2.

Table 10.2. Requirements and timing for progression.

Progress required Full-time PhD	FT PhD	PT PhD	FT Masters	PT Masters
Research Plan and Training Plan approved	Y1	Y1	Y1	Y1
Research Ethics and Integrity module completed	Y1	Y2		
Progress in line with agreed research and training plan	Y1, Y2, Y3, Y4	Y1, Y2, Y3, Y4, Y5, Y6, Y7, Y8	Y1, Y2	Y1, Y2, Y3, Y4
Confirmation must be complete	Y2	Y4		
Thesis submitted for examination	Y4	Y8	Y2	Y4

Key to the implementation of Progression Monitoring is the granularity of the research and training plans. They must be sufficiently detailed to allow for progress to be mapped to them and if changes are made to the plan, a project management change control and change communication process must take place which includes the submission of the updated plan to the Research Examination Board.

10.3 Overview of yearly progression process

1. Graduate Studies Office identifies the cohort of learners to be reviewed by each Research Examination Board via the Student Information System (e.g. Banner). The criteria for identification of learners to be reviewed:
 - a. Cohort is reviewed in the last semester of their registration year, i.e. in September for January registered learners and in June for September registered learners.
 - b. A list of registered learners (including temporarily registered) for each programme will be processed from the Student Information System
 - c. Learners who are eligible to register and have not registered, will not be reviewed and will automatically be deemed ineligible to register for the upcoming academic year.
2. Graduate Studies email primary supervisors requesting the supervisory panel to complete and submit a Supervisory Team Annual Progression Monitoring Form before a specific deadline via an online submission portal.
3. Graduate Studies email learners requesting that they complete and submit a Learner Annual Progression Monitoring Form before a specific deadline via an online submission portal.
4. Supervisory team completes the Supervisory Team Annual Progression Monitoring Form, including signatures of all members of the supervisory team, and submits it before the deadline.
5. Learner completes the Learner Annual Progression Monitoring Form, including their signature, and submits it before the deadline.

- a. Late submissions will only be accepted in exceptional circumstances, at the discretion of the Research Examination Board Chairperson.
 - b. Non-submission of the Learner Annual Progression Monitoring Form will automatically result in a “unsatisfactory” outcome at the Research Examination Board meeting.
6. Graduate Studies assist with ensuring that all files are uploaded to the correct folder structure within Graduate Studies Learner Folder and inputs the supervisor recommendation for progression on the Student Information System. A broadsheet is rolled for the Research Examination Board, which includes the ECTS acquired by the learner in that academic year.
7. Research Examination Board meeting is held, as follows:
 - a. People present are as set out in Table 3.1.
 - b. Chairperson (or academic secretary or research lead) will read the result for each learner and can call on a representative from a supervisory team to provide background to the recommendation for the progress of the learner to the Research Examination Board, if required.
8. The Research Examination Board decide on the progression monitoring outcome. The two possible outcomes and their impact for a learner are as follows:
 - a. Satisfactory - learner is eligible to progress into the upcoming academic year
 - b. Unsatisfactory – in this case a remedial plan must be in place for the learner to make progress, failure to meet these requirements before the next Research Examination Board will result in the learner being deemed ineligible to register for the next year of their programme.
9. Graduate Studies communicate the decision of the Research Examination Board back to each learner. In the case of an “unsatisfactory” result, the learner should be made aware of any potential visa implications and the SETU International Office notified, if required.
10. Learners who are deemed “unsatisfactory” must complete the tasks/tasks/deliverables/milestones within the defined timelines for them to be eligible to progress with the support of their supervisory team and resubmit updated forms to the Research Examination Board. The maximum allowable timeframe for this is 1 semester.
11. Steps 2 to 10 and then repeated for the learners who were previously deemed “unsatisfactory”.
 - a. If a subsequent “unsatisfactory” outcome is recorded at the second Research Examination Board, the learner is deemed ineligible to progress in the programme.
 - b. If the learners progress is deemed “satisfactory” at this stage, they are eligible to progress to the next year of their programme.
12. Graduate studies update the registration status of the learners in accordance with the recommendations of the Research Examination Board.
13. It is recommended that, over time, faculties develop robust processes for reviewing learners work. These reviews could equate to yearly monitoring reports and replace and internal or external reviewers used.

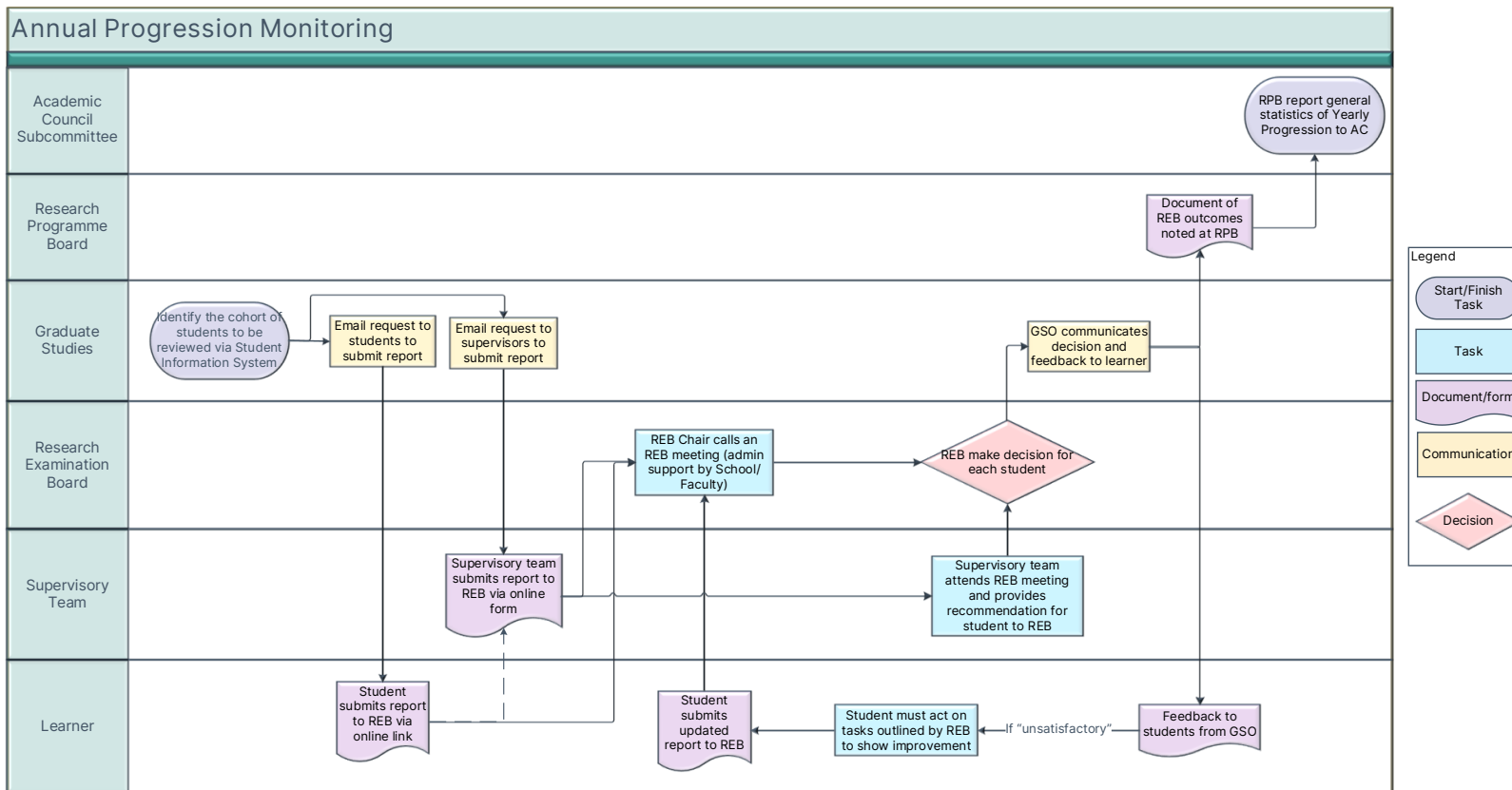


Figure 10.1. Function-level process map for the Annual Progression Monitoring process.

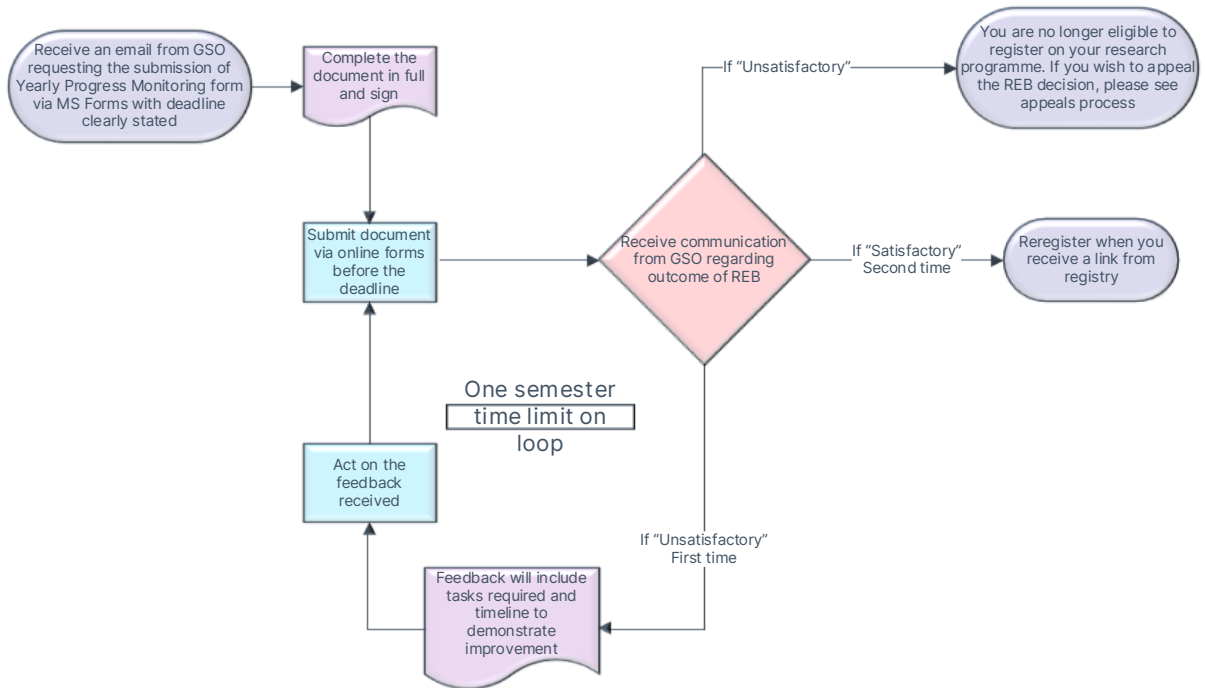


Figure 10.2. Process map of the Annual Progression Monitoring process for Learners.

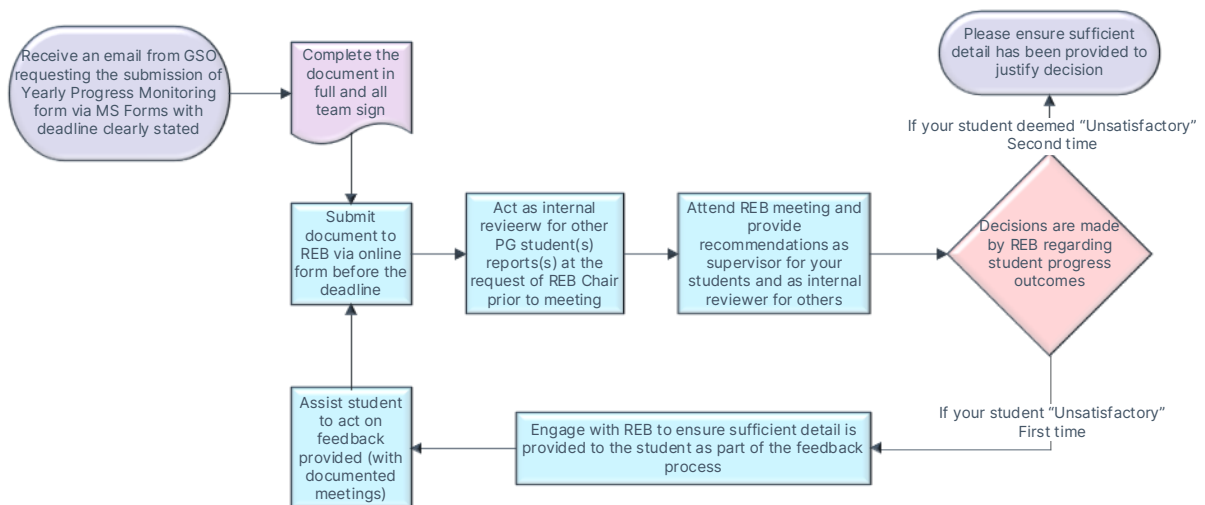


Figure 10.3. Process map of the Annual Progression Monitoring process for supervisors.

10.4 Quality checks, responsibilities and oversight

Table 10.3. Checklist and areas responsible for quality checks for the Yearly Progress Monitoring Process.

Quality	Check	Responsibility for check	Timing of check in the process
Learner progress details	Learner report submitted	Research Examination Board	Two weeks prior to Research Examination Board
Supervisory panel appraisal	Supervisory panel report submitted	Research Examination Board	Two weeks prior to Research Examination Board
Decision	Information in the submitted document reflect the decision of the Board	Research Examination Board	At Research Examination Board meeting
Progression Decision	Requirements for progression outlined in table 5.2 met by learner	Research Examination Board	At Research Examination Board meeting
Learner feedback	Learner notified of outcome and to follow up with the department on any requirements outlined as part of the feedback.	Graduate Studies Office	Within 1 week of initial meeting
Final decision made for every learner reviewed by Board	Follow-up with supervisory panel, department and learner for any "Requires improvement" outcomes.	Supervisory Panel and Department	At follow-up Research Examination Board meeting

10.5 Re-registration

All learners whose yearly progression is deemed satisfactory need to re-register for the next year of their programme. While initial commencement may be at any time during the year, registration and re-registration occurs on a calendar basis from either September or January.

Failure to re-register within the annual re-registration period will lead to a withdrawal of supervision and university resources. A reminder email will be sent to learners who are required to re-register for their programme.

11. PhD Confirmation/Transfer

11.1 Requirements

For all Structured PhD learners, supervisors and learners must strive to complete the PhD Confirmation process within the second year of registration.

Funded projects must be mindful of funding body requirements in terms of timing of confirmation and should comply with these timeframes.

Supervisors and learners are also advised to be mindful of any potential effects of the timeframe of a PhD Confirmation that may be required to comply with international visa requirements.

Learners must have acquired at least 15 ECTS at the time of the confirmation interview, of which Research Integrity and Ethics must account for 5 ECTS.

Masters by Research can transfer to a Structured PhD register via the PhD Transfer process.

If a Masters by Research learner wishes to transfer to a Structured PhD register, they must provide an updated training plan which outlines the plan to completing 30 ECTS as part of the Structured PhD. It is recommended that such learners have completed 15 ECTS at the time of transfer.

The aims of the PhD Confirmation/Transfer process are as follows:

1. To assess progress to date and the academic preparedness of the candidate to successfully complete the proposed PhD programme, including the suitability of research completed to date and completion plan to the award of PhD;
2. To determine whether the candidate has developed a clearly defined, coherent and feasible research project and contribute suggestions for its successful completion;
3. To provide an opportunity for the candidate to demonstrate written and oral presentation skills appropriate to PhD-level study; and
4. To publicly acknowledge a major milestone in the project and inform others about the research project.

11.2 Overview of PhD Confirmation process

1. Supervisor initiates the process by informing learner of the requirements of the PhD Confirmation process.
 - a. Learner writes a draft PhD Confirmation document, with feedback from their supervisory panel.
2. Supervisor identifies appropriate reviewers(s) for the PhD Confirmation process and nominates reviewers(s) for approval by Head of Department. There must be at least one independent reviewer.
 - a. Research Programme Boards have long-term oversight of the reviewers being nominated and appointed and may set faculty-specific criteria for same.

- b. The reviewer at the PhD Confirmation stage cannot be used for final examination (including Master, if this is the outcome of the Confirmation process).
 - c. The requirement for an internal and/or external reviewer is at the discretion of the Head of Department.
 - d. If an external reviewer is approved by the Head of Department, the reviewer is appointed via Graduate Studies Office.
 - e. Internal reviewer must be on the SETU Approved Research Postgraduate Supervisor list.
 - f. External reviewer must have an NQF level 10 qualification. The external CV will be held on record within Graduate Studies in the case of an audit on the process.
3. Once the reviewer(s) are approved, Graduate Studies is notified by the Head of Department. Graduate Studies issues contracts, report templates and expenses claim form (external reviewer only). Once the contract is signed and returned, Graduate Studies notify the supervisory team and the supervisory team can send the Confirmation documents directly to the examiner(s) and arrange the defence of the document.
- a. It is expected that all PhD Confirmation interviews are held online, unless the examiners are on campus for other business, or with the prior approval of the Head of Department where the costs will be incurred.
4. The PhD Confirmation panel will consist of the following:
- a. Internal reviewer and/or External reviewer, as approved by Head of Department.
 - b. A Chairperson, independent of the project, must oversee the defence to ensure the correct processes are followed (this chair can be an academic member of staff or a head of department in the learner's faculty).
 - c. It is expected that all SETU members of the Confirmation panel are on the SETU approved list of research postgraduate supervisors, as outlined below except in the case where the chair is a Head of Department.
5. Typically, the Confirmation interview consists of:
- a. Presentation by the learner on their work to date.
 - b. Reviewer questions relating to the literature, field of study, methodology, results etc. (either on a chapter-by-chapter basis or by topic)
 - c. Review of the plan for future work to completion of a PhD
 - d. Feedback and recommendation by reviewer(s) – these are usually discussed without the candidate present and then relayed to the candidate.
 - e. Decision to be recommended to the Research Examination Board.
6. There are four possible recommendations to be recorded on the examiners' report(s) are as follows:
- a. PhD registration confirmed.
 - b. Extension of probationary period of PhD registration by 3 months with a repeat confirmation interview.
 - c. Transfer to a Masters register and recommend submission of a Masters by Research degree.
 - d. Recommend deregistration from the programme.

7. In the case of outcomes (c) and (d) above, the learner should be made aware of any potential visa implications and the SETU International Office notified, if required.
8. Reviewer reports and confirmation forms are submitted to Research Examination Board, who approve the result of the PhD Confirmation examination.

11.3 Overview of PhD Transfer process

1. Steps 1 to 5 of the PhD Confirmation process are the same for the PhD Transfer process with Transfer document, Transfer panel and Transfer interview substituted for Confirmation document, Confirmation panel and Confirmation interview, respectively.
9. There are four possible recommendations to be recorded on the examiners' report(s) are as follows:
 - a. PhD registration confirmed.
 - b. Extension of Masters by Research registration by 3 months with a repeat Transfer interview.
 - c. Recommend learner remains on the Masters by Research register and recommend submission of a Masters by Research degree.
 - d. Recommend deregistration from the programme.
10. In the case of outcomes (c) and (d) above, the learner should be made aware of any potential visa implications and the SETU International Office notified, if required.
11. Reviewer reports and transfer forms are submitted to Research Examination Board, who approve the result of the PhD Transfer examination.
12. Once the PhD Transfer is approved by the Research Programme Board, Graduate Studies will update the student information system to reflect the transfer to a PhD programme.

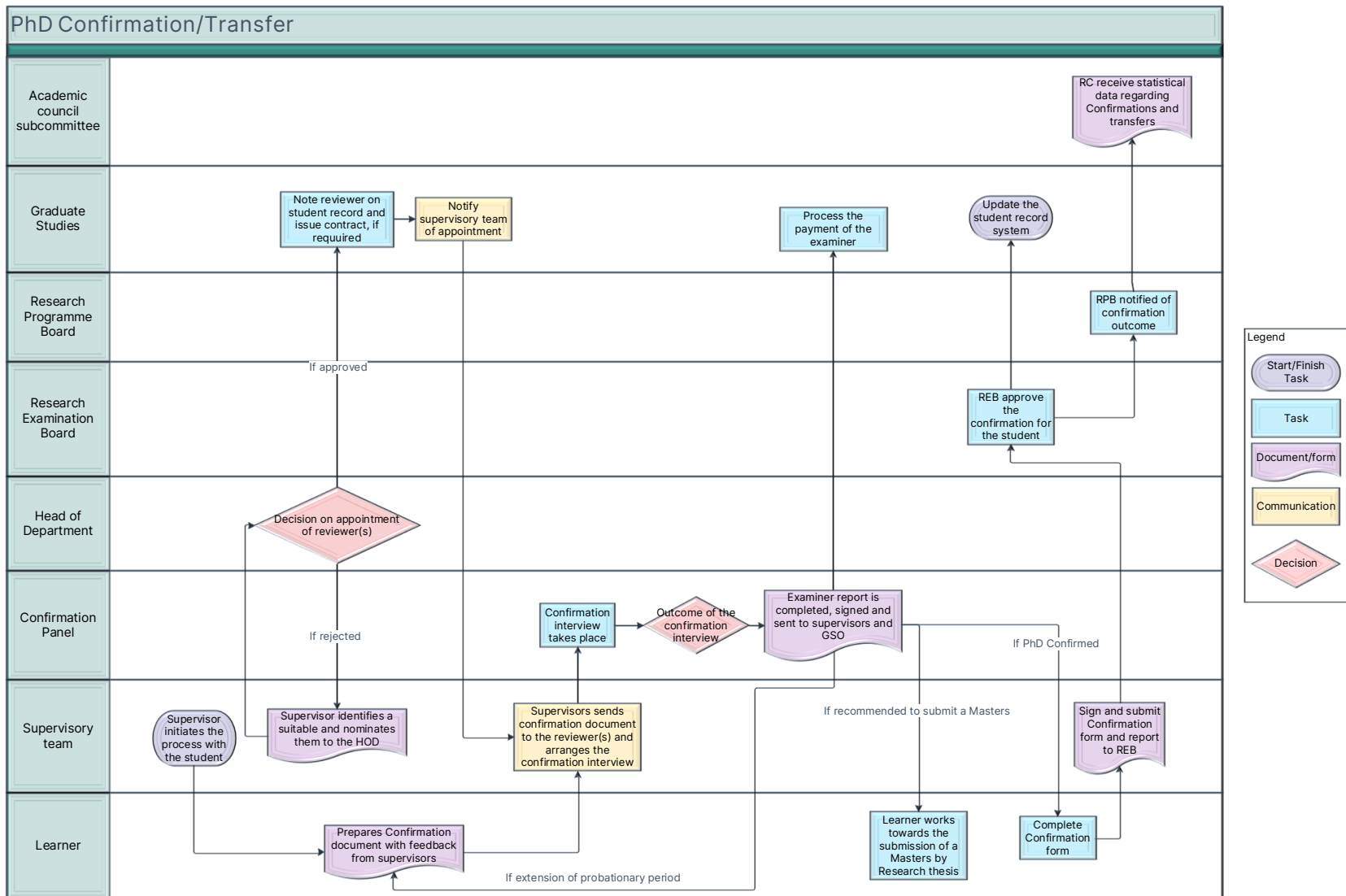


Figure 11.1. Function-level process map for the PhD Confirmation process.

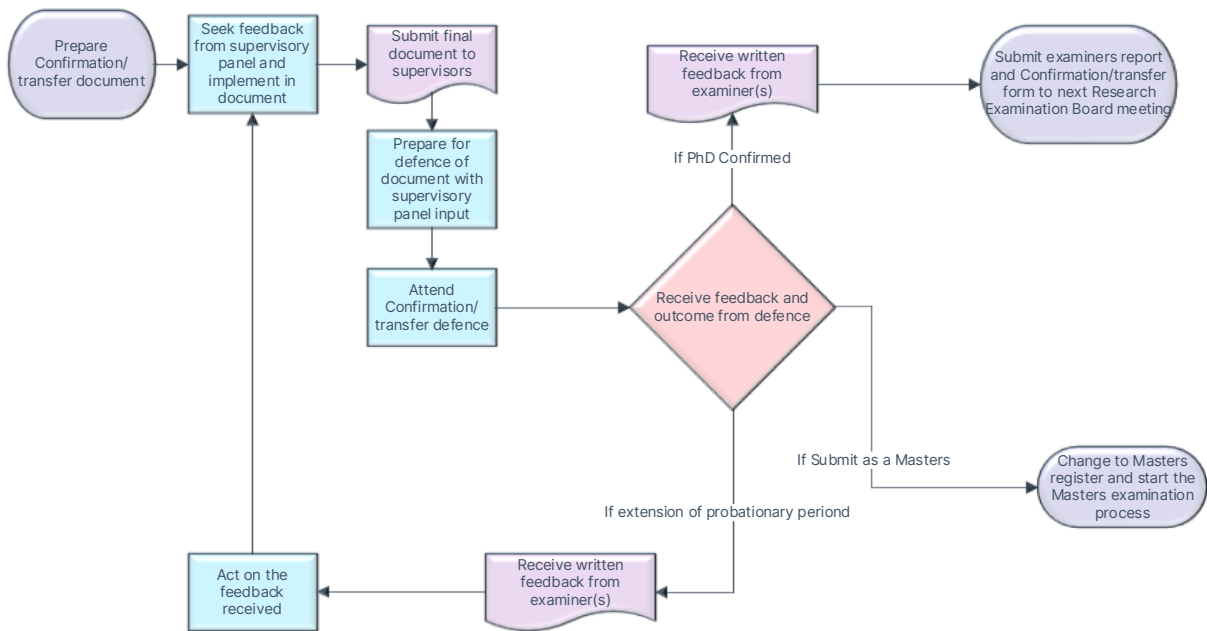


Figure 11.2. Process map of the Confirmation process for Learners.

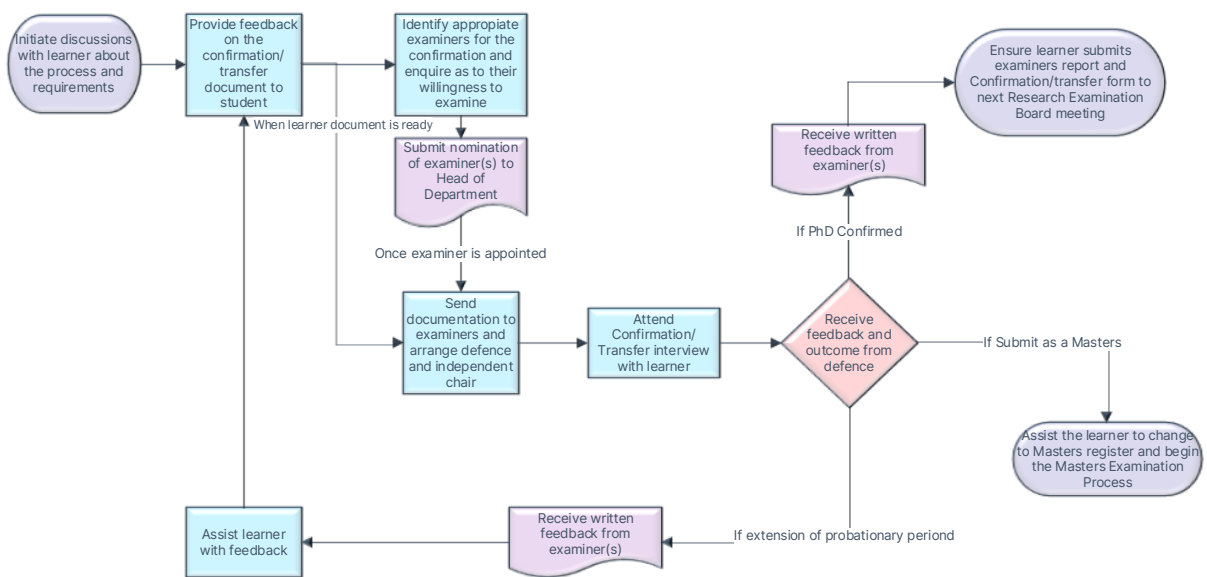


Figure 11.3. Process map of the confirmation process for supervisors.

11.4 Transfer from Structured PhD to Masters by Research register

Learners can request to transfer from a PhD programme to a Masters by Research programme via SETU-GS-11 form.

Once approved by the learner's Head of Department, this form must be sent to Graduate Studies, who will deregister the learner from the PhD programme with a note to file that they changed to a Masters by Research.

Graduate Studies will then register the learner on a Masters by Research programme and notify the learner, primary supervisor and Head of Department of the change to the registration of the learner.

11.5 Quality checks, responsibilities and oversight

Table 11.1 presents the checks and people responsible and the overall timing in the confirmation process for each critical element of the process.

Table 11.1. Checklist and areas responsible for quality checks for the confirmation

Quality	Check	Responsibility for check	Timing of check in the process
Reviewer quality	Internal reviewer must be on the approved supervisory list, any external examiners must meet the criteria for the approved supervisory list (don't need to be an approved supervisor). External reviewer CV should be kept on file in the department for auditing purposes.	Graduate Studies	Before approving examiner(s)
Reviewer contracts must be in place covering a conflict of interest and confidentiality statements	Head of Department to send Graduate Studies the approval details. Graduate Studies to issue contract and notify primary supervisor and Head of Department of the appointment of the reviewer (s).	Head of Department, Graduate Studies	Before sending examiner, documents and arranging confirmation defence.
Reviewer(s) approved	Nomination of reviewer submitted approved by Head of Department and notification sent to primary examiner stating reviewer has been approved.	Primary supervisor	Before sending examiner, documents and arranging confirmation defence.
Confirmation arranged before deadline outlined in Table 10.2	Research Examination Board check during the yearly progression monitoring process.	Research Examination Board	Before 24 months into full-time research programme.
Fair examination process	Independent chairperson	Research Examination Board	After confirmation defence

Quality	Check	Responsibility for check	Timing of check in the process
Result from examination	Research Examination Board checks panel composition and the outcome as recommended in the examiner report	Research Examination Board	Approve confirmation or recommendation
Feedback to learner from reviewer	Email sent confirming examination outcome.	Graduate Studies	After Research Examination Board meeting to recommend and approve confirmation report

12. Final Examination

12.1 Purpose

The purpose of the final examination of a research degree is to assess the research output produced by the learner for its suitability for the award of the degree.

The primary aim of a research degree is the production of original knowledge, which can be represented in a various output types, including (but not limited to):

- A written thesis
- A body for published works, or works prepared for publication
- A performance (or performances)
- A portfolio of original creative work e.g. music composition or art work
- Another format of original work deemed acceptable by SETU Academic Council
- Combination of the above formats.

An email with guideline dates for submission of forms, thesis for examination and final thesis to be sent to all staff and research learners by Graduate Studies at the start of Semester 2 year each.

12.2 Taught element requirements

For all PhD learners intending to submit their final thesis, a PhD Confirmation or Transfer process must have been completed.

Structured PhD learners must have acquired at least 30 ECTS, of which Research Integrity and Ethics must account for 5 ECTS, for the nomination of examiners for final examination to be processed.

12.3 Appointment of examiners process

12.3.1 Requirements

A research learner's work must be examined by two examiners, at least one of whom must be external to SETU.

Both examiners must hold a research degree equal to or higher than that being sought by the learner.

Both examiners must have had little to no involvement with the learner's research, including examining the learner for the PhD Confirmation or Transfer process.

Examiners should be appointed prior to the submission of the learners work for examination.

12.3.2 Internal examiner

An internal examiner must be research active in the general area of research of the degree being sought by the learner and have general knowledge of the specialist research area being examined.

If there is no suitable internal examiner for the learner, two external examiners must be appointed.

If there is a conflict of interest, i.e. learner is a member of SETU staff, two external examiners must be appointed. If there is any doubt as to if a conflict of interest exists, two external examiners must be appointed.

12.3.3 External examiner

An external examiner must be independent of SETU and must be:

- Specialist in the subject area
- Known for their contribution of research in the area of the learner's research
- Research active in the area of the learner's research
- Experienced in the examination process of a degree, i.e. either supervised a research degree to completion and/or examined a research degree at the level of or higher than that being examined.

An external examiner can not:

- Be acquainted directly with the candidate.
- Have been a member of staff in SETU in the previous 5 years
- Have been a research degree learner in the department of the learner in the previous 5 years.
- Be invited on a regular basis to examine research degrees. It is recommended that an examiner who has examined three research degrees in a department should not be invited (or appointed) for at least three years.

Where two external examiners are appointed, they cannot be both affiliated with the same external institution.

12.3.4 Overview of examiner appointment process

Prior to the nomination of examiners, the supervisory teams should have assessed the examiners' willingness and ability to act as examiners for the research. For this purpose, supervisors should make it clear that the purpose of the request is to be nominated for approval by SETU Academic Council.

The primary supervisor nominates examiners, with approval of their Head of Department via the SETU-GS-08 form; as part of this form, CVs of the proposed examiners must be included (an SETU online research profile may be used on the file instead of a traditional CV for internal examiner nominations).

As part of the nomination of examiners via SETU-GS-08 form, the learner is aware of the nomination and signs the forms to indicate their knowledge/acceptance of the nomination. If a learner has a concern about the nominations, they should make this

known to Graduate Studies, who will raise the concern at the Academic Council meeting considering the nomination.

Examiners must be approved by Academic Council.

Graduate Studies facilitates the appointment of examiners and notifies the primary supervisor once the examiner has been appointed.

The appointment of examiners will be valid for 12 months after the primary supervisor is notified of the appointment. If the learner fails to submit a thesis within this timeframe, a new nomination

If Academic Council do not approve the examiner nomination, Graduate Studies will consult with Academic Council to ensure that the Head of Department and primary supervisor are notified of the decision and the reason(s) for the decision. The primary supervisor should indicate to the prospective examiner that their appointment was not ratified.

All communication with external examiners, apart from the initial contact to assess willingness to act as examiner and regarding failure to approve appointment, must only be through Graduate Studies, who liaise with the examiners, supervisors and learner to facilitate the examination process.

12.4 Submission of learner's work for examination

Specifications for the various formats of submission for examination for a research degree are outlined in APPENDIX C.

Learners should submit their research output(s) for examination at least three months before the relevant Research Examination Board of their final year of registration on their programme.

Submissions for examination must be made to Graduate Studies with the accompanying SETU-GS-08 Research Degree Thesis Submission for Examination form. Signatures from the primary supervisor and learner on this form indicate agreement by the parties on the submission for examination.

A learner may submit their research programme output for examination without the agreement of their supervisor(s). In this case, the SETU-GS-08 Research Degree Thesis Submission for Examination may be submitted without the primary supervisor's signature, but should include an explanation for the reason for submission without supervisor agreement. Graduate Studies will inform the supervisor(s) for the submission and will proceed with the examination process outlined below.

Learners must submit a soft copy of their thesis, or equivalent, to Graduate Studies. Learners may be requested to submit up to two additional hard copies of their thesis (or equivalent research output) should the examiner(s) make a request. Learners or supervisors are not permitted to send any submission directly to the examiner(s). Should a learner submit hard copies of the thesis to Graduate Studies without the request of the examiner(s), these will be sent to the examiner(s) by Graduate Studies.

Graduate Studies send examiners the required documents for the completion of the examination process.

12.5 Final examination process

12.5.1 Examination criteria

Examiners should assess the following criteria when considering the recommendation of the award of Masters by Research:

- The learner should show evidence of independent thought and research, must demonstrate a mastery of their chosen subject.
- The learner should demonstrate an understanding of methodologies appropriate to the chosen field and show adequate knowledge of the literature of the subject and of the work of other scholars in the field.
- The learner should be capable of relating knowledge of particular topics to the broader field of study involved and of presenting such knowledge in a critical and scholarly way.

Examiners should assess the following criteria when considering the recommendation of the award of PhD (Structured or traditional):

- The candidate should have demonstrated the capacity of pursuing original independent research in the field of study and of exercising critical judgment.
- The work must make a substantial and original contribution to scholarship and provide evidence of originality by the exercise of independent critical powers.
- The work must contain an acceptable amount of original work by the candidate, which is considered by the examiners to be of publishable standard in the form of:
 - articles in appropriate refereed journals/conferences.
 - a book or other scholarly publication.
 - a research/creative or self-expressive work monograph which meets the standard of refereed academic publications.
 - performances, compositions, exhibitions.

12.5.2 Overview

1. The examiners review the submission independently and prepare reports and recommendations.
 - a. For a Masters by Research, a joint report is to be submitted to Graduate Studies; this is coordinated by the internal examiner, or a designated external examiner in the case of two external examiners.
2. For a Masters by Research degree, the examiners may request a viva voce examination take place. This requirement should be indicated on the submission of the joint report to Graduate Studies.
3. All PhD learners (Structures and traditional) must complete a viva voce as part of the examination process.

Viva Voce examination:

1. The purpose of the viva voce examination is to assess the work submitted by the learner, while providing the learner the opportunity to present and defend their work through high-level debate with experts in the subject. It enables the examiners to confirm that the learner has a thorough understanding of the practical and theoretical aspects and methods involved in the work and to contextualise their work in the general field of learning.
2. The arrangements for the viva voce are managed by Graduate Studies, including:
 - a. Appointment of an independent chairperson who has not previously been involved with the learner.
 - b. Arrangements of time/date and location of viva.
 - c. Arrangements of travel and accommodation for the external examiner, if required.
 - d. Arrangements of technical support for the viva, if held online.
 - e. Notification to learner, supervisors (with the prior agreement of the learner), examiners and chairperson of details of the viva voce.
3. The candidate may, with the prior agreement of the examiners, make a presentation as part of the viva voce examination. If the candidate is making a presentation, it is the responsibility of the candidate and supervisor(s) to ensure that the necessary equipment is set up and working in the examination room prior to the viva voce and that candidate is proficient in its use.
4. It is the responsibility of the chairperson to ensure that the examination is conducted according to SETU Research Degree Framework and Graduate Studies Operational document. The chairperson's primary duty is to ensure that the examiners and the candidate have adequate time for discussion of issues arising from the work submitted.
5. Prior to the oral examination, the examiners will confer with one another, normally in the presence of the chairperson, in order to:
 - a. Exchange copies of their reports.
 - b. Identify the issues to be raised at the examination. It is particularly important to identify problematic areas in advance, in order to ensure that these are adequately explored in the dialogue between candidate and examiners.
 - c. Agree a plan for the viva voce – who will ask questions and in what order.
 - d. There should be no dialogue with the supervisor or candidate prior to the examination.
6. The chairperson should introduce the examiners to the candidate, briefly explain the purpose of the examination and the procedures to be followed, and advise the candidate to deal with questions as fully as the chairperson thinks necessary. The chairperson's overall aim should be to ensure a fair and constructive dialogue between the examiners and the candidate and to ensure agreement is reached between the examiners following the examination on a recommendation.
7. During a viva voce, it is normally the case that the discussion is led by the external examiner.

If the examination process has not been executed within six months of the initial submission for examination, the learner can request that one or both of the examiners be replaced. In this case, the Head of Department can nominate new examiners via the examiner appointment process outlined above.

12.5.3 Outcome of the examination

Examiners' report should provide a commentary on the work submitted by the learner and should clearly indicate to the learner where amendments or corrections, if any, are required. The report can offer advice, if appropriate, on the opportunities for further dissemination of the work.

Following examination of the body of work and the viva voce, the external and internal examiners agree a recommendation and a common report (which may be a composite of the reports drawn up in advance) outlining the main points of their appraisal of the work and their recommendation for modifications to be made to the thesis (if any). The joint report should indicate clearly one of the following recommendations:

- a. (a) recommended without modification;
- b. (b) recommended with minor corrections;
- c. (c) referred for amendment without full re-examination;
- d. (d) referred for substantial amendment and re-examination;
- e. (e) not recommended.

In the case of (a) above the final thesis (or equivalent) is submitted by the learner to Graduate Studies.

In the cases of (b) and (c) above, the candidate thesis must satisfy the examiners that all required amendments have been carried out in accordance with the recommendations. This may, at the discretion of the examiners, require a written statement from the internal supervisor or a re-submission of the amended thesis to one or both examiners. Normally the specific requirement is agreed by the examiners and included within their report. A statement of verification from the supervisor, or the examiners, to the effect that any changes have been carried out in accordance with recommendations, usually suffices as evidence of the completion of those changes.

In cases where a supervisor is asked to provide a statement of verification that changes have been made in accordance with the examiners' recommendations it is expected that the supervisor provide this statement of verification or additional feedback to the learner within a period of six weeks following the provision of the amended thesis by the learner to the supervisor. If this time period elapses the learner may request the Head of Department to appoint an individual other than the supervisor to provide this verification.

In the case of (d), a candidate who fails to satisfy the examiners at first examination and whose thesis is referred for re-examination, may, on the recommendation of the examiners, be allowed to revise the thesis and be re-examined (normally within six months and always by the same panel of examiners), but not more than once, for the degree sought, or for another award.

It should be noted that in the cases of both (c) and (d) and also re-examination or further supplementary examining, will all be regarded by SETU as forming part of a single process.

In the case of (e), the award is not recommended and resubmission is not recommended. The panel may recommend that the work be submitted for a lower award.

The learner will be informed of the outcome by the Graduate Studies, and will be given an opportunity to make any changes required under (b) or (c), before the Examination Board meeting.

In the case of outcome (d) or (e), the learner has the right to appeal to the Registrar, by following the examinations appeals process, outlined on the SETU website.

If examiners cannot agree a recommendation, Graduate Studies will appoint an additional external arbitrator, who will consider the candidate's work and the report(s) of the examiners, and present a final judgement.

Following receipt of the examiner(s)' report(s), a broadsheet will be issued for results. This broadsheet will be considered at the next Research Examination Board meeting and the results will be submitted for ratification at a subsequent meeting of Academic Council.

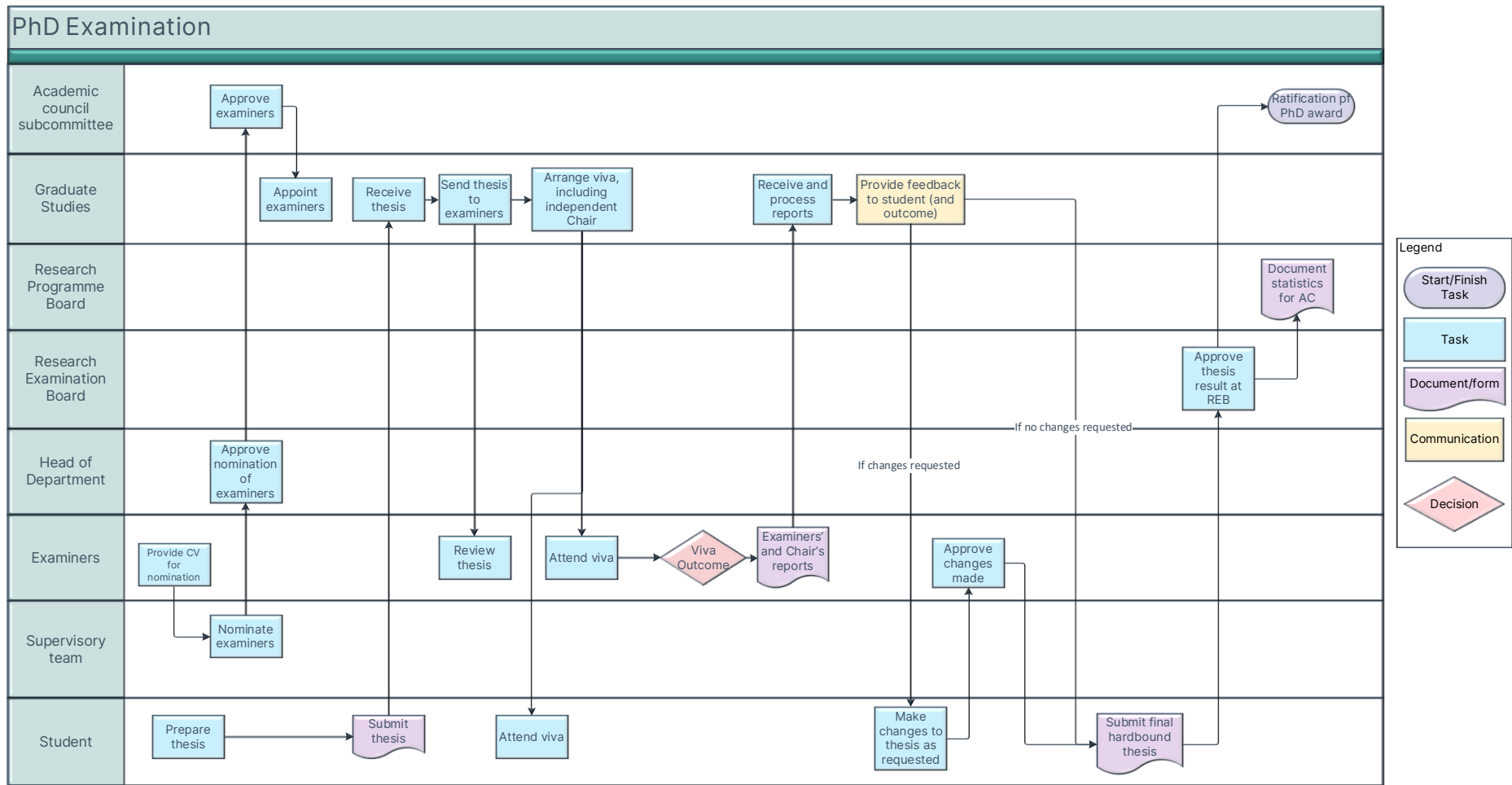


Figure 12.1. Function-level process map for the PhD examination process.

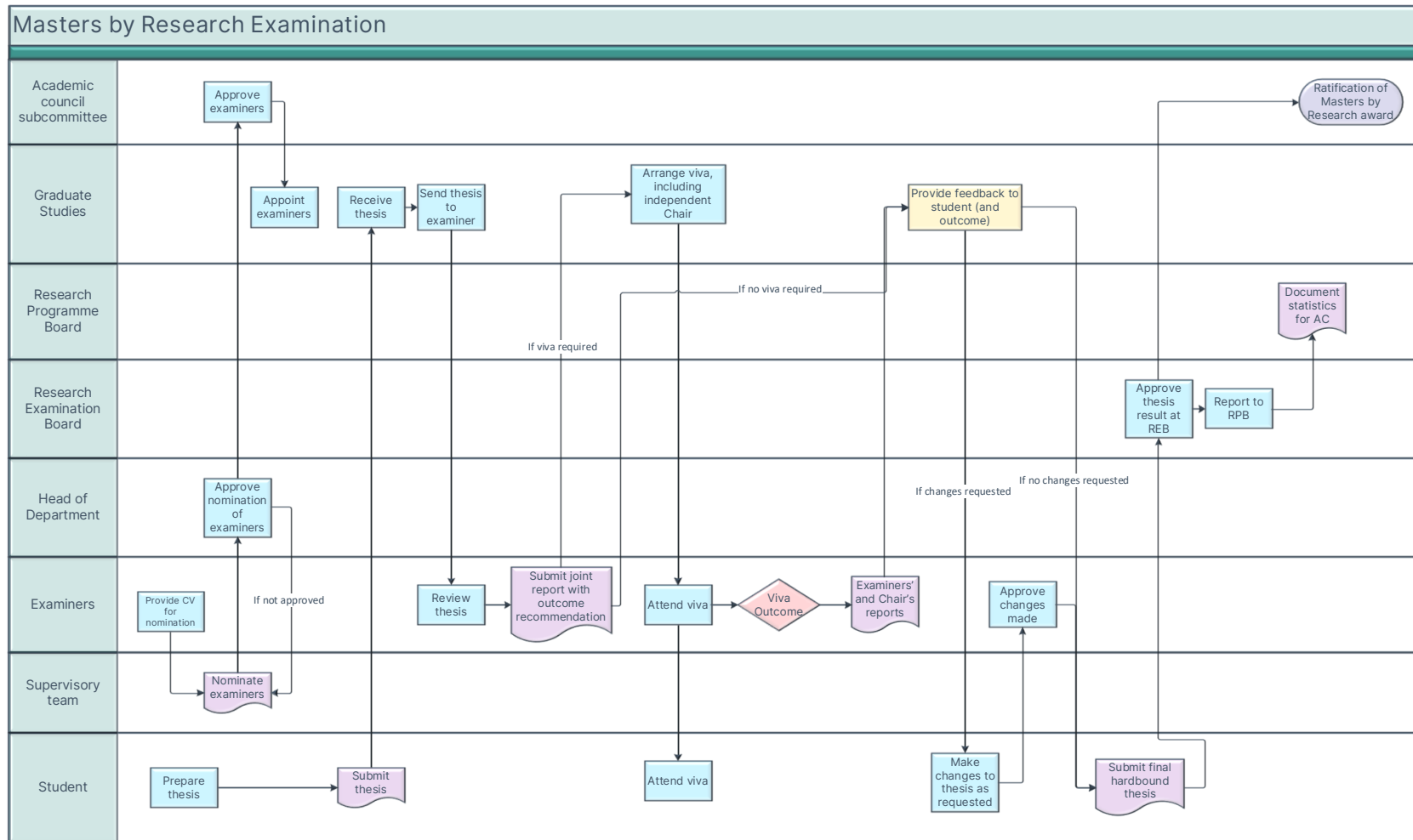


Figure 12.2. Function-level process map for final examination for Masters by Research.

12.6 Quality checks, responsibilities and oversight

Figure 12.3. Responsibilities for quality check for final examination of research degree.

Quality	Check	Responsibility for check	Timing of check in process
30 ECTS has been obtained by learner	Learner submits results with Intention to submit form – results can be obtained from Graduate Studies	Graduate Studies	Before signing intention to submit form
PhD Confirmation has been completed	Confirmation must have been completed at least 12 months prior to intended submission date	Primary Supervisor	Before signing intention to submit form
Examiner quality	Internal and external examiners must meet the criteria to act as examiner and are ultimately approved by Academic Council	Supervisory Panel/ Academic Council	Before approving examiner(s)
Examiner contracts must be in place	Once approved, contracts are sent by Graduate Studies – thesis cannot be submitted until signed contract has been returned.	Graduate Studies	Before thesis is submitted
Examiner(s) approved	Head of Department and Primary Supervisor notified of examiner approval or requirement to nominate a new examiner, if necessary.	Graduate Studies	Before thesis is submitted
Fair examination process	Independent chairperson oversees process. Independent Chairperson must have knowledge of the SETU Postgraduate Regulations	Graduate Studies	Examination process
Result from examination communicated	Examiners submit initial reports and a joint report. Chairperson submits a report. The outcome must align on all reports	Examiners, Chairperson	At the end of the examination process
Feedback to learner from examiners	Email sent to learner/Department/School/ Faculty confirming examination outcome and any changes required.	Graduate Studies	Within 10 working days of receipt of examiner reports

APPENDICES

APPENDIX A Research Postgraduate Forms

Admissions Forms

- SETU-GS-01 Admissions Form

Other forms that can be used during the admissions process include:

- Application Form
- Shortlisting Excel
- Interview Score Sheet

SETU-GS-01 Graduate Studies Research Admissions Form

This form is to be completed by the Principal Supervisor and signed by your HOD detailing the Graduate Studies research programme to be undertaken.

- Completed and signed copies of this form and the Competition Scorecard (excel, with the competition code), or PAC application, should be emailed to ResearchAdmissions@setu.ie cc to the GSO@setu.ie

1. Details:

Reference No. (e.g WD_2023_101_SETU):	Click or tap here to enter text.
Award sought	PhD <input type="checkbox"/> Master's by Research <input type="checkbox"/>
Mode of Study	Full-time <input type="checkbox"/> Part-time <input type="checkbox"/>
SETU Campus of study:	Click or tap here to enter text.
School & Department of study:	Click or tap here to enter text.
Intended start date:	Click or tap here to enter text.
ISCED Code ⁸ :	Click or tap here to enter text.
Programme Banner Code: [HOD or Graduate Studies can insert]	Click or tap here to enter text.

2. Research Programme:

Please provide the working title of the thesis.

Click or tap here to enter text.

⁸ <http://uis.unesco.org/sites/default/files/documents/international-standard-classification-of-education-fields-of-education-and-training-2013-detailed-field-descriptions-2015-en.pdf>.

3. Supervisory Panel

Please provide details of the supervisory panel and identify the principal supervisor, co-supervisors and advisors.

Click or tap here to enter text.

4. Financial Support:

4.1. Please indicate the most relevant mode of financial support:

Self-Funded:

Funded:

Sponsored:

4.2. Where the programme is not self-funded, please state the source and duration of financial support, and the contribution to stipend, fees and research expenses.

Click or tap here to enter text.

5. Approval Signatures:

Principal Supervisor	
Signature:	Click or tap here to enter text.
Date:	Click or tap here to enter text.
Head of Department.	
Signature:	Click or tap here to enter text.
Date:	Click or tap here to enter text.

Yearly Monitoring Forms

For yearly monitoring, the following should be submitted:

- SETU-GS-02 Detailed Research and Training Plan Template
- SETU-GS-03 SETU Learner Annual Progression Monitoring Report
- SETU-GS-04 Supervisory Team Annual Progression Monitoring Form



SETU-GS-02 SETU Graduate Learner Detailed Research and Training Plan Template

This is a template for a research and training plan, to be completed by the learner with feedback from their supervisory team. This template can be modified to suit the particular research area of the research. However, timelines are expected to be detailed within the approved plan.

Learner Information:

Learner Name:	
Learner ID number:	
Supervisory Panel*: <small>*Please include role of each person on panel i.e. Primary supervisor, co-supervisor, advisor.</small>	

Research Plan:

Working title of thesis:	
Aim:	
Objectives/research questions:	

Background:

Literature review and/or relation to state-of-the-art:

Methodology:

Timeline:

Please include deliverables, milestones risks and contingencies should also be considered. Please see supplementary material for examples of work package breakdowns and other templates that can be used here.

Please note that a Gantt chart is required for all project and the level of detail should be sufficient so as to allow for progression of the project to be measured against expectations.

Please insure that the tasks and timeline includes ethics considerations for all project.

Training Plan:

Please outline both formal and informal training that will be completed as part of the research degree programme outlined above.

Details about timing of Universal Pathway Modules can be found through Graduate Studies. Details about timing of Project Pathway Modules can be found through your School/Faculty.

Structured modules to be undertaken

Please add/remove boxes as required.

Module title and code:	Credits:
Reason for undertaking module in relation to research project and learning outcomes:	
Timing of when this module will be completed:	

Module title and code:	Credits:
Reason for undertaking module in relation to research project and learning outcomes:	
Timing of when this module will be completed:	

Module title and code:	Credits:
Reason for undertaking module in relation to research project and learning outcomes:	
Timing of when this module will be completed:	

Module title and code:	Credits:
Reason for undertaking module in relation to research project and learning outcomes:	
Timing of when this module will be completed:	

Transferrable skills through unaccredited training:

Please add skills as required.

Skills	Requirements of learner	Learning and development platform
Research skills and techniques		
Research environment		
Research Management		
Personal Effectiveness		
Communication skills		
Networking and team working		
Career Management		
Innovation		
External training		
Grant writing skills		
Ethics and data management		

Declarations and Signatures:

Learner declaration:

I hereby confirm that this research and training plan has been developed by the research Learner and supervisory panel for the above-mentioned project. Any changes in the research and/or training plans must be submitted to Graduate Studies.

Learner progress is monitored in relation to this detail research and training plan via the Yearly Monitoring Process as set out in the SETU Research Postgraduate Regulations.

All learners must submit a research and training plan to their Research Examination Board at the end of their first Semester registered in SETU.

Learner Signature:	
Date:	

Supervisory declaration:

I hereby approve the above research and training plan for the research programme outlined above.

Primary Supervisor Signature:	
Date:	

Co-Supervisor Signature:	
Date:	

Co-Supervisor Signature:	
Date:	

Head of Department declaration:

I hereby approve the above research within my department.

Head of Department Signature:	
Date:	



SETU-GS-03 Learner Annual Progression Monitoring Form

Learner Progression Report

This form is to be completed on an annual basis by all Masters by Research and PhD research postgraduates learners registered at SETU.

The form is used as part of the annual progress monitoring process for research postgraduates, which is specified in §6 of the *SETU Graduate Studies Regulations and associated Code of Practice*.

The form and associated documentation should be submitted by the learner to the Graduate Studies Office three months before the end of each academic year for which the learner is registered. This form will be reviewed by a nominee of the Chair of the Research Programme Board within the relevant School/Faculty and discussed at the appropriate progression meeting.

1 IDENTIFICATION INFORMATION

Name:	Click or tap here to enter text.
SETU Learner ID:	Click or tap here to enter text.
Primary Supervisor	Click or tap here to enter text.
Department:	Click or tap here to enter text.
School/Faculty	Click or tap here to enter text.
Period Progress Report Relates to:*	Click or tap here to enter text.
Date Form Submitted:	Click or tap here to enter text.

*Research postgraduate learners report on a September to August, or on a January to December basis depending on the date of their initial registration.

2 RESEARCH AND TRAINING PROGRESS

2 (a) Research Plan Progress

Please include with this form a copy of your current Research Plan, as approved by your Research Programme Board.

Comment briefly on your view of your progress to date on your research work and whether it is in line with the objectives and schedule set out in your research plan. Also comment briefly on your plans for the research work between now and your anticipated completion date.

Research Plan Progress (max. 1000 words)

[Click or tap here to enter text.](#)

2 (b) Training Plan Progress

Please include with this form a copy of your current Development and Training Plan, as agreed with your Supervisory Panel.

Comment briefly on your view of your progress to date on your training activities and whether it is in line with the objectives and schedule set out in your training plan. Also comment briefly on your plans for any additional training between now and your anticipated completion date.

Training Plan Progress (max. 500 words)

[Click or tap here to enter text.](#)

2 (c) Research Dissemination

Please provide a list of research dissemination related outputs since you commenced your research programme.

Peer-reviewed Publications

[Click or tap here to enter text.](#)

Other Publications

[Click or tap here to enter text.](#)

Conference / Workshop / Seminar Presentations; Performances; Exhibitions

Click or tap here to enter text.

Other Research Dissemination

Click or tap here to enter text.

2 (d) Ethical Approval

Have you (and your supervisory panel) conducted an ethical review screening process on your project? Please provide details of this, including evidence, if applicable.

Click or tap here to enter text.

Have you previously required ethical approval for your research programme? If so please detail here if prior ethical approval is still valid, requires amendment or is no longer required.

If proposed work, not yet started, requires ethical approval please detail here the timescale and proposed process for achieving this.

Click or tap here to enter text.

3 ADDITIONAL ACTIVITIES

3 (a) Teaching, Demonstrating and Other Duties

Please list any teaching or academic duties performed in associated with your position as a SETU research postgraduate learner in the period since your last submitted progress form.

Teaching, Demonstrating and Other Duties.

Click or tap here to enter text.

3 (b) Resources and Support Services

Please provide your view of the resources and support services provided by SETU to support research postgraduates. Please provide any suggestions you may have for how these resources and support services could be improved.

Click or tap here to enter text.

3 (c) Issues and Concerns

Please indicate any issues or concerns in relation to any aspect of your experience as a postgraduate research learner in SETU that you would like to bring to the attention of the members of the Research Examination Board.

If there are comments you would rather raise in confidence than have addressed at the Research Examination Board please submit these separately to the Graduate Studies Office.

Issues and Concerns.

Click or tap here to enter text.

9 DECLARATION

The information provided in this form represents my opinion of the progress I have made to date as a research postgraduate learner in SETU. I am happy for this information to be considered by the members of the Research Examination Board in its determination of my progress.

Learner	
Signature:	
Date:	Click or tap here to enter text.

SETU-GS-04 Supervisory Team Annual Progression Monitoring Form

1 IDENTIFICATION INFORMATION

Name:

SETU Learner ID:

Primary Supervisor:

Department:

School/Faculty:

Period Progress Report Relates to:*

Date Form Submitted:

*Research postgraduate learners report on a September to August, or on a January to December basis depending on the date of their initial registration.

2 Progress report

Supervisory team assessment

	Poor	Fair	Good	Very Good	Excellent
Planned research progress (as per research plan)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Planned training activities progress (as per training plan)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Dissemination of research outputs progress	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Contribution to research group/centre/department activities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Progress recommendation:

Satisfactory eligible to progress

Unsatisfactory (note, two unsatisfactory outcomes in two successive examination boards will result in the learner being ineligible to progress.

Additional information

Click or tap here to enter text.

3 DECLARATION

The information provided in this form represents an agreed progress report from the members of the supervisory team regarding the progress of the postgraduate learner

Supervisory Team Signatures:	
Primary Supervisor Name:	Click or tap here to enter text.
Signature:	
Date:	Click or tap here to enter text.
Co-Supervisor Name:	Click or tap here to enter text.
Signature:	
Date:	Click or tap here to enter text.
Co-Supervisor Name:	Click or tap here to enter text.
Signature:	
Date:	Click or tap here to enter text.
Co-Supervisor Name:	Click or tap here to enter text.
Signature:	
Date:	Click or tap here to enter text.
Co-Supervisor Name:	Click or tap here to enter text.
Signature:	
Date:	Click or tap here to enter text.

Confirmation Documents and Forms

A confirmation proposal requires the following:

- SETU-GS-05 PhD Confirmation Nomination of Reviewer
- SETU-GS-06 PhD Confirmation Form
- SETU Graduate Studies PhD Confirmation Reviewer Report

SETU-GS-05 PhD Confirmation/Transfer Nomination of Reviewer(s)

1. Learner Information:

Learner Name	Click or tap here to enter text.
Learner Number	Click or tap here to enter text.
Department and Scholl/Faculty	Click or tap here to enter text.
Start Date:	Click or tap here to enter text.
Thesis title	Click or tap here to enter text.
Transfer to PhD or PhD Confirmation?	Transfer <input type="checkbox"/> Confirmation <input type="checkbox"/>

2. Internal Reviewer Nomination:

Name:	Click or tap here to enter text.
Email:	Click or tap here to enter text.

3. External Reviewer Nomination:

Name:	Click or tap here to enter text.
Title:	Click or tap here to enter text.
Qualifications:	Click or tap here to enter text.
Institutional Address:	Click or tap here to enter text.
Telephone No.:	Click or tap here to enter text.
Email:	Click or tap here to enter text.

Please note: The External Reviewer must hold a PhD or equivalent qualification in the discipline of the Research and must be an active Researcher with experience of Graduate Supervision and Examining. The External Reviewer will not be the final Examiner for this learner and must not be directly involved in the candidate's Research or Supervision.

N.B Please ensure a summary CV for the External Reviewer is attached.

4. Signatures:

	Signature	Date
Learner:		Click or tap here to enter text.
Primary Supervisors		Click or tap here to enter text.
Head of Department:		Click or tap here to enter text.

Once approved by Head of Department please submit to Graduate Studies from processing.



SETU-GS-06 PhD Confirmation/Transfer Form

Please outline the details of the PhD Confirmation/Transfer interview and submit to Graduate Studies. Forms submitted at least 5 working days before the next Research Examination Board will be processed at the upcoming Research Examination Board. Forms submitted less than 0 working days before a Research Examination Board will be processed at the next Research Examination Board meeting.

1. Learner Information:

Learner Name	Click or tap here to enter text.
Learner Number	Click or tap here to enter text.
Department and College	Click or tap here to enter text.
Transfer to PhD or PhD Confirmation?	Transfer <input type="checkbox"/> Confirmation <input type="checkbox"/>

2. Supervisory Team Information:

Primary Supervisor and affiliation	Click or tap here to enter text.
Co-supervisor and affiliation	Click or tap here to enter text.
Co-supervisor and affiliation	Click or tap here to enter text.
Co-supervisor and affiliation	Click or tap here to enter text.

3. Confirmation details:

Date of confirmation	Click or tap here to enter text.
Independent Chairperson	Click or tap here to enter text.
Internal Examiner	Click or tap here to enter text.
External Examiner and affiliation (if applicable)	Click or tap here to enter text.

4. Signatures:

	Signature	Date
Learner:		Click or tap here to enter text.
Primary Supervisors		Click or tap here to enter text.



SETU Graduate Studies PhD Confirmation Reviewer Report

In the case where there is an internal and external reviewer, joint or individual reports are accepted. A joint report should have both examiners names and signatures (please duplicate fields as required).

1. Examiner Information:

Reviewer Name	Click or tap here to enter text.
Affiliation	Click or tap here to enter text.

2. Recommendation

Please tick one box

Confirm the PhD candidature on the PhD register.	<input type="checkbox"/>
Extend the candidature to a specified date and permit resubmission of the confirmation proposal.	<input type="checkbox"/>
Not recommend PhD candidature and if appropriate recommend completion as a Masters by Research degree.	<input type="checkbox"/>
Not recommend PhD candidature and propose a termination of studies.	<input type="checkbox"/>

3. Comments (if applicable)

Click or tap here to enter text.

4. Signatures:

Signature	Date
	Click or tap here to enter text.

Examination Forms

A final examination process requires the following:

- SETU-GS-07 Intention to Submit for Examination of Postgraduate Research Award Form Thesis submission for examination
- SETU-GS-08 Postgraduate Research Degree Thesis Submission for Examination
- Initial examiner report
- Joint examiner report
- Independent Chair report



SETU-GS-07 Intention to Submit for Examination of Postgraduate Research Award Form

Section 1: Candidate Details ⁹	
Surname:	Click or tap here to enter text.
Given/First Name:	Click or tap here to enter text.
Learner number:	Click or tap here to enter text.
Candidate Email Address:	Click or tap here to enter text.
School/Faculty:	Click or tap here to enter text.
Supervisor(s):	Click or tap here to enter text.
Primary Supervisor Email Address:	Click or tap here to enter text.
Start month and year:	Click or tap here to enter text.
Expected completion date:	Click or tap here to enter text.

Section 2: Thesis/Submission Details ¹⁰	
Award submitted for:	Masters <input type="checkbox"/> PhD <input type="checkbox"/> DBA <input type="checkbox"/>
Thesis Title:	Click or tap here to enter text.
If accompanied by a performance or display/exhibition please provide details including nature of additional material and provisions for access by examiners ¹¹ :	Click or tap here to enter text.

The candidate's work must be examined by at least 2 examiners, 1 of whom must be an External Examiner. An Internal Examiner must be active in the general area of research of the degree being undertaken by the candidate and, where applicable, should have experience of the specialist topic(s) to be examined, should have had little or no involvement in the candidate's work and hold a qualification at/above, that sought by the candidate. Where there is no suitably qualified internal examiner, a specialist may be appointed from another institute or university.

⁹ To be completed by the candidate

¹⁰ To be completed by the candidate (and supervisor(s))

¹¹ Details provided in initial candidate registration by Research Program Board

Section 3: Internal Examiner Details.	
Title:	Click or tap here to enter text.
Surname:	Click or tap here to enter text.
Given/First Name:	Click or tap here to enter text.
Department/School/Faculty/Campus:	Click or tap here to enter text.
Email Address:	Click or tap here to enter text.
Date last examination performed:	Click or tap here to enter text. Level 9 <input type="checkbox"/> Level 10 <input type="checkbox"/>
Please provide details of relevant research experience to the thesis under examination, e.g. publications, grants, projects:	Click or tap here to enter text.
<i>Conflict of Interest and Independence of Examination Process.</i>	
Was the examiner involved in the supervision of the learner in field or laboratory work or elsewhere during the program of research?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Has the examiner had substantial contact with the learner in any other circumstances that might jeopardise the independence of the examination.	Yes <input type="checkbox"/> No <input type="checkbox"/>
Does the examiner possess a relationship with either the internal examiner or supervisor that may be viewed as a conflict of interest?	Yes <input type="checkbox"/> No <input type="checkbox"/>
If YES to any of the 3 questions above please provide further details:	Click or tap here to enter text.

Section 4: External Examiner Details.	
Title:	Click or tap here to enter text.
Surname:	Click or tap here to enter text.
Given/First Name:	Click or tap here to enter text.
Work Address:	Click or tap here to enter text.
Current Position:	Click or tap here to enter text.
Email Address:	Click or tap here to enter text.
Terminal Degree and date of Award:	Click or tap here to enter text.
Date last examination performed:	Click or tap here to enter text. Level 9 <input type="checkbox"/> Level 10 <input type="checkbox"/>
Please provide details of relevant research experience to the thesis under examination, e.g. publications,	Click or tap here to enter text.

grants, projects, hyperlink(s) to professional profile(s):	
Does nominee possess postgraduate research degree supervision to completion and/or research examination experience? If "yes" please provide details.	
<i>Conflict of Interest and Independence of Examination Process.</i>	
Has the examiner held a substantive appointment at the SETU in the 5-yr period prior to submission of the candidate's thesis?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Was the examiner involved in the supervision of the learner in field or laboratory work or elsewhere during the program of research?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Has the examiner had substantial contact with the learner in any other circumstances that might jeopardise the independence of the examination.	Yes <input type="checkbox"/> No <input type="checkbox"/>
Does the examiner possess a relationship with either the internal examiner or supervisor that may be viewed as a conflict of interest?	Yes <input type="checkbox"/> No <input type="checkbox"/>
If YES to any of the 4 questions above please provide further details:	Click or tap here to enter text.

Please provide CVs for nominated external examiner.

Section 5: Signatures & Approvals	
Learner Signature:	Print: Click or tap here to enter text. Sign: Date: Click or tap here to enter text.
Supervisor Signature:	Print: Click or tap here to enter text. Date: Sign: Click or tap here to enter text.
<i>Head of Department:</i>	Print: Click or tap here to enter text. Sign: Date: Click or tap here to enter text.

SETU-GS-08 Research Degree Thesis Submission for Examination

Part A of this form to be completed by Principal Supervisor of Postgraduate Candidate

Part B to be completed by Postgraduate Candidate submitting their thesis for examination

Completed form to accompany thesis for examination and emailed to Graduate Studies.

Part A

Name of Candidate:

Title of Thesis:

I hereby certify that I have supervised the thesis of the above-named Postgraduate Candidate. I confirm that this thesis represents the Candidate's own work and it is in order for it to be presented to approved Examiners.

Signature _____ *Date* _____
Principal Supervisor

Part B

I hereby certify that the above-named thesis represents my own work.

Signature _____ *Date* _____
Postgraduate Candidate

If you are a funded learner please ensure you have completed your Final Report.
If you required ethical approval for any element of this project, please notify the relevant Ethics Committee of the completion of this project.



SETU PhD/Masters by Research Examination Initial Examiner Report and Recommendation Form

Independent Report from Examiner

Before the viva voce examination, an independent initial report should be prepared by each Examiner. The report should include a brief description of the work carried out by the candidate. An Examiner is asked to make an initial recommendation to accompany the report, the report should be of sufficient detail to substantiate the recommendation. Examiners may exchange Initial Reports with each other before the *viva voce*. Each Initial Report Form should be completed electronically and a hand signed printed copy should be submitted along with the Joint Final Report and Recommendation Form to the Examinations Section within the Office of the Registrar within ten working days from the date of the viva voce. Examiners are reminded that under the terms of the Data Protection Act candidates are permitted to receive a copy of their examination reports and examination correspondence following a request.

Candidate	Choose an item.	Learner Number	Click or tap here to enter text.
Department/School/Faculty/SETU	Click or tap here to enter text.	Primary Supervisor	Click or tap here to enter text.
Title of Thesis	Click or tap here to enter text.		
Award Sought	Masters <input type="checkbox"/>	PhD <input type="checkbox"/>	DBA <input type="checkbox"/>
Name of Examiner	Click or tap here to enter text.		
Role	<input type="checkbox"/> Internal Examiner	<input type="checkbox"/> External Examiner	

Report on Thesis

Please give a brief introduction to the content of the thesis, highlighting any novel aspects of the work.

Click or tap here to enter text.

Please comment on the candidate's standard of written English.

Click or tap here to enter text.

Examiners' Recommendation

- Note: Suspected Plagiarism or Fabrication of Data in a Thesis Submitted for Examination
- Where one of the Examiners suspects a candidate of committing plagiarism or fabrication of data in a thesis, the
- External Examiner should liaise with the Internal Examiner, the Internal Examiner should liaise with the Head of Graduate Studies in the first instance.

The examiner is asked to make an appropriate initial recommendation from the following list.

1.	<input type="checkbox"/>	Recommend the award of degree
2.	<input type="checkbox"/>	Recommend the award of degree subject to the Candidate making Minor Corrections, within 3 months, to the thesis
3.	<input type="checkbox"/>	Refer the thesis for modification by the Candidate, within 6 months, before award of degree
4.	<input type="checkbox"/>	Refer the thesis for substantial amendment by the Candidate and re-examination, no more than 12-months from the date of the viva voce, before award of degree
5.	<input type="checkbox"/>	Not recommended for award of degree at Level 10 but recommend award of degree at Level 9 subject to, requirements below, being made to the thesis as agreed by the Examiners. Please indicate as required: <input type="checkbox"/> Minor corrections <input type="checkbox"/> Modifications <input type="checkbox"/> Substantial amendment
6.	<input type="checkbox"/>	That the Candidate be deemed not to have attained the standard required for degree at either Level 9 or Level 10 and that no further opportunity be allowed for examination
Signature of Examiner		Date Click or tap here to enter text.



SETU Viva Joint Examiner Report and Recommendation Form

Please complete the form electronically and submit a hand signed printed copy to the Examinations Section within the Office of the Registrar within ten working days from the date of the viva voce. Examiners are reminded that under the terms of the Data Protection Act candidates are permitted to receive a copy of their examination reports and examination correspondence following a request.

Candidate	Click or tap here to enter text.	Learner Number	Click or tap here to enter text.
Department/School/Faculty	Click or tap here to enter text.	Date of viva voce	Click or tap here to enter text.
Title of Thesis	Click or tap here to enter text.		
Award Sought	Masters <input type="checkbox"/>	PhD <input type="checkbox"/>	DBA <input type="checkbox"/>
Primary Supervisor	Click or tap here to enter text.		

Report on Thesis.

Have you any concerns about plagiarism, collusion or the fabrication of results?

Yes No

Did the Graduate Studies Office indicate to the Examiners prior to the Viva that the candidate had made a claim for Extenuating Circumstances in Relation to the Viva?

Yes No

Did the candidate raise any issues of concern during the Viva?

Yes No

If the answer to either of these questions is 'Yes' then, without any breach of confidentiality, please describe briefly what consideration was given by the Examiners to the issues raised and any action taken.

Click or tap here to enter text.

Please give a brief introduction to the contents of the thesis and identify any original research undertaken.

Click or tap here to enter text.

Please comment on the candidate's standard of written English.

Click or tap here to enter text.

Comment on the Viva Voce

Please identify the topics discussed at the viva voce along with the Candidate's strengths in the given area of research.

You are also required to comment on the Candidate's performance during the examination.

Click or tap here to enter text.

Justification of the Recommendation

Click or tap here to enter text.

Examiners' Recommendation

Examiners are requested to recommend one of the following. *Please select as appropriate:*

1. Recommend the award of degree
2. Recommend the award of degree subject to the Candidate making Minor Corrections, within 3 months, to the thesis
3. Refer the thesis for modification by the Candidate, within 6 months, before award of degree
4. Refer the thesis for substantial amendment by the Candidate and re-examination, no more than 12-months from the date of the viva voce, before award of degree
5. Not recommended for award of degree at Level 10 but recommend award of degree at Level 9 subject to, requirements below, being made to the thesis as agreed by the Examiners.

Please indicate as required:

- Minor corrections
- Modifications
- Substantial amendment

Please indicate who is responsible for the consideration and approval of the Minor Modifications

- Both Examiners
- Internal Examiner
- External Examiner

Examiners' Declaration

Please tick to confirm the following:

<input type="checkbox"/>	That the Candidate was provided with informal feedback on their thesis submission on the day of the viva voce
--------------------------	---

<input type="checkbox"/>	That the Candidate has been provided with a statement / list of any revisions required for completion. Please attach a copy of the revisions.
--------------------------	---

<input type="checkbox"/>	That a full copy of the Examination Reports will be sent to the Candidate's Primary Supervisor
--------------------------	--

<input type="checkbox"/>	That the Examiners' Initial Reports are attached.
--------------------------	---

Signature of Internal Examiner		Date Click here to enter a date.
Signature of External Examiner		Date Click here to enter a date.



SETU Viva Voce Examination Chairperson's Report

Name of Chairperson: Click or tap here to enter text.

Position in SETU: Click or tap here to enter text.

1. The Candidate:

Name: Click or tap here to enter text.

Award: Click or tap here to enter text.

Thesis title: Click or tap here to enter text.

2. The Examination:

Date: Click or tap here to enter text.

Start time: Click or tap here to enter text. End time: Click or tap here to enter text.

Venue: Click or tap here to enter text.

In attendance: External Examiner: Click or tap here to enter text.

Internal Examiner: Click or tap here to enter text.

Supervisor(s): Click or tap here to enter text.

Comments: Click or tap here to enter text.

3. The Recommendation:

- (a) recommended without modification;
- (b) recommended with minor corrections;
- (c) referred for amendment without full re-examination;
- (d) referred for substantial amendment and re-examination;
- (e) not recommended.

I hereby certify that the above viva voce examination was conducted in accordance with SETU procedures.

Signed:

Date:

Changes in registration

These forms must be used in the following situations:

- SETU-GS-09 Research Postgraduate Deferral Form
- SETU-GS-10 Research Postgraduate Changes to Registration Details Form



SETU-GS-09 Research Postgraduate Deferral Form

Guidelines:

This form must be submitted to the Vice President for Academic Affairs and Registrar via Head of Department and the Research Postgraduate Admissions. You will be notified in writing by Registry of the academic outcome of your application. There may be fee implications to your application which should be discussed with the Fees Office.

Name:		Learner Id	
		E-Mail Address	
		Mobile Number:	
Home Address:		Programme & Year:	
Have you ever been offered a deferral previously?		Period for which you are requesting the deferral?	
Registration period (Please tick)	<input type="checkbox"/> Jan (Calendar Year) <input type="checkbox"/> Sept (Academic Year)		

Please list any documentation that has been submitted with your application

Please outline the circumstances supporting your application. The information supplied will be treated in a confidential manner and will only be available to the relevant Departmental/School Research Programme Board Chair, and the Postgraduate Enrolment Group to review the deferral application. Please attach additional paper, if required.

Signature of Candidate

Date

Signature of Supervisor

Date

Signature of Head of
Department

Date

	For Office Use Only	
Date application received (please stamp)		
	Audit Trail	
Date application reviewed:		
Additional evidence requested (Yes/No)		
Interview Required:		
Interview Date:		
Committee Decision Date:		
Registration/Rate Code (Banner) for previous year (to be reviewed by finance):		
Rate code to be applied for next academic year (Banner) - Fees to confirm		
If calendar year deferral - Rate code to be applied for previous academic year (Banner) - Fees to confirm		
Registration details amended:		
Head of Department Notified:		
Signed		Date



SETU-GS-10 Research Postgraduate Changes to Registration Details Form

The precise arrangements for postgraduates approved at the time of registration must be adhered to unless you obtain formal approval for any significant variation in the project content, mode of study or supervisory arrangements. To apply for such approval, this form should be completed and returned to your Supervisor for submission to your Research Examination Board.

Learner Name: [Click or tap here to enter text.](#)

Learner Number: [Click or tap here to enter text.](#)

Department/School/Faculty: [Click or tap here to enter text.](#)

Registration Date: [Click or tap here to enter text.](#)

Nature of change:

- Withdrawal and deregistraion from research programme
- Change in registration status from part-time to full-time
- Change in registration status from full-time to part-time
- Changes of supervisory arrangements e.g. at the behest of either learner or supervisors or caused by external factors
- Change from PhD register to Masters register
- Change of School for Learner (requires approval of Research Programme Board)

Reason for change:

[Click or tap here to enter text.](#)

Signatures:

Learner

Signature: Click or tap here to enter text.

Date: Click or tap here to enter text.

Lead Supervisor

Signature: Click or tap here to enter text.

Date: Click or tap here to enter text.

Co-Supervisor

Signature: Click or tap here to enter text.

Date: Click or tap here to enter text.

Co-Supervisor

Signature: Click or tap here to enter text.

Date: Click or tap here to enter text.

Co-Supervisor

Signature: Click or tap here to enter text.

Date: Click or tap here to enter text.

Head of School/Department/Faculty

Signature: Click or tap here to enter text.

Date: Click or tap here to enter text.

APPENDIX B – Example of Research Programme Board Output



Memorandum from Research Programme Board to Academic Council

1. Research Examination Board Information:

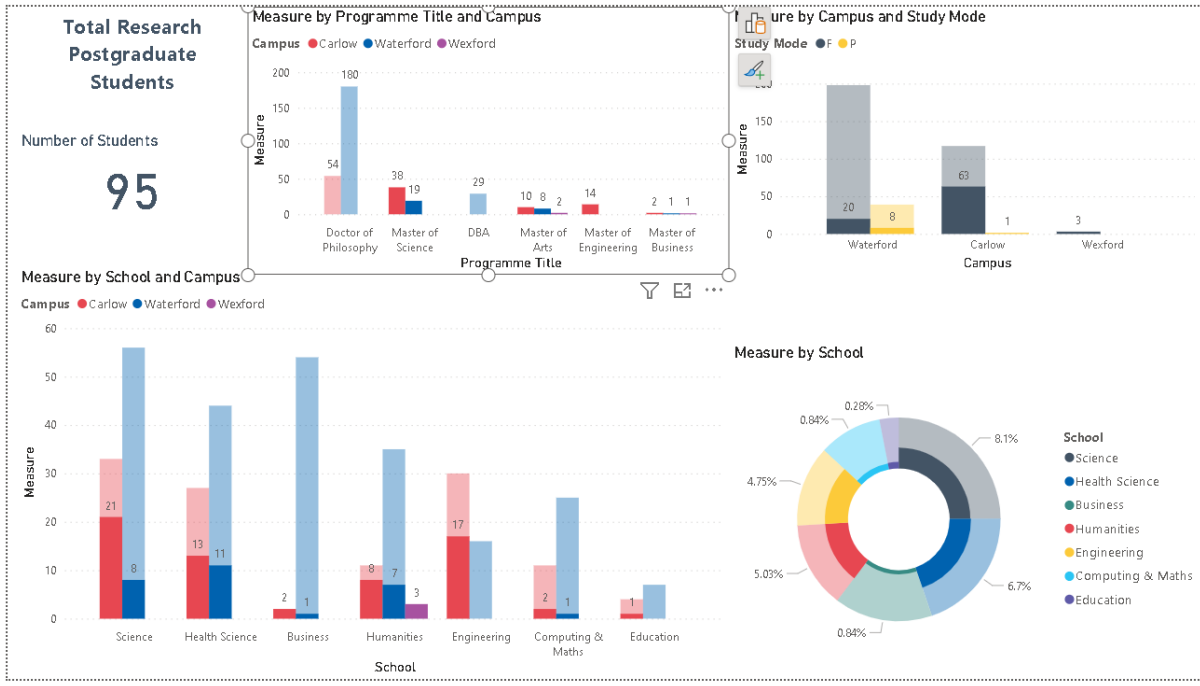
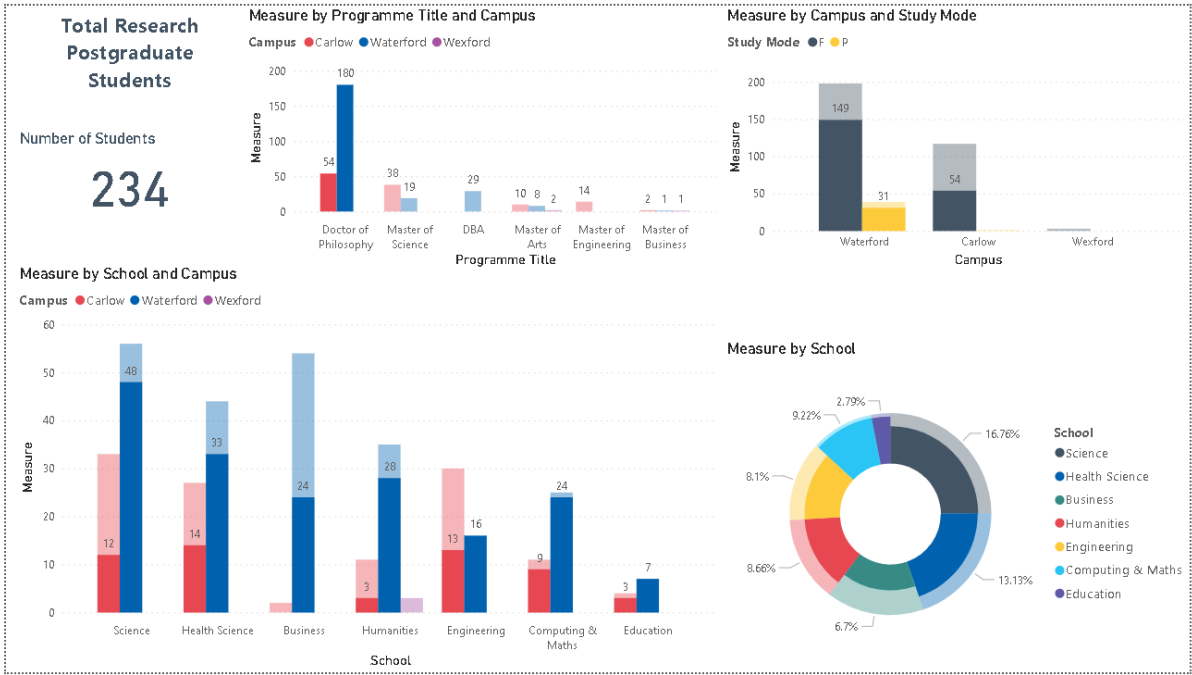
Research Examination Board:	Choose an item.
Chairperson:	Click or tap here to enter text.

2. Composition of committee

3. Meeting details (dates, attendees, alignment of RPB meeting with research committee meetings etc.).

4. Statistics of research postgraduate student population





APPENDIX C - Structured PhD Modules

Universal Pathway Modules

<i>Proposed module title</i>	<i>Proposed ECTS</i>
<i>Research Integrity and Ethics*</i>	5
<i>Research Methodologies</i>	5
<i>Research Planning and Management</i>	5
<i>Academic writing 1</i>	5
<i>Academic writing 2</i>	5
<i>Practical Pedagogy for Researchers</i>	5
<i>Quantitative Data Analysis</i>	5
<i>Qualitative Data Analysis</i>	5
<i>Commercialisation of Research and Entrepreneurship</i>	5

* *Mandatory module, includes Epigeum certification, or equivalent*

Science and Computing

Module Code	New code	Module Title	ECTS
SCIE 0050		Advanced Chromatographic Techniques	10
SCIE 0051		Advanced Spectroscopic Techniques	10
SCIE 0052		Advanced Materials Characterisation	10
FOOD 0013		Food Safety and Analytical Microbiology	10
PHAR 0014		Biopharmaceutical Analysis	10
INTR 0017		International Regulatory Affairs	10
STAT 0051		Strategic Quality Management	10
STAT 0052		Statistics and Data Analysis	10
SCIE 0077		Advanced Drug Formulation Science	10
PHAR 0020		Green and Sustainable Pharmaceutical Production	10
RESA-0206		Entering the Research Community	5
STRP-0017		Laboratory Animal Science LAST	5
SCIE 0080		Soil Health and Water Management	10
SCIE 0081		Crop Management in Organic and Biological Agriculture	10
SCIE 0082		Livestock Management in Organic and Biological Agriculture	10
SCIE 0083		Food Health and Nutrition	10
SCIE 0084		Agroforestry and Land Biodiversity	10
PROJ 0204		Project Management and Marketing	10
		Principles of Environmental Radiation Monitoring	5
STAT-0052		Statistics and Data Analysis	10
COMP-0055		Agile Software Development	10
BUSS-0057		Business Intelligence	10
BUSI-0004		Bus Proc Analysis & Design	10
COMP-0616		Cloud Application Services	10
DATA-0015		Data Mining	10
COMP-0056		Design Patterns	10
COMP-0484		Enterprise Web Development	10
ETHS-0001		Ethics & e-Privacy	10
COMP-0302		Graph Theory & Optimisation	10
COMP-0618		Human Centred Systems	10
COMP-0289		Inf Systems & Int Development	10
COMP-0291		Information Systems Proj Mgt	10
COMP-0486		Mobile App Development	10
COMP-0492		Mobile Web Development	10
BUSI-0071		Organisation Renewal & Per	10
COMP-0288		Socio-Technical Entrepren	10
TECH-0012		Supply Chain Int Tech	10
COMP-0619		User Experience & Design	10
RESA-0175		Research Methods & Diss	10
COMP-0974		Cloud Architecture	10
COMP-0981		Artificial Intelligence for AS	10
		Entering the Research Community	5
STRP-0007		<i>External 5-credit Module</i>	5
STRP-0011		<i>External 10-credit Module</i>	10

Engineering

Module Code	New code	Module Title	ECTS
NETW H5S04		Industrial Networks II	5
AUTO C5S01		Advanced Industrial Automation	5
NETW C5S02		Cybersecurity for Industrial Networks	5
NETW C5S01		Cybersecurity I	5
SECU H5602		Cybersecurity II	5
CTRL H5601		Industrial Control Systems	5
NETWH5S01		Industrial Networks I	5
PROG H5601		Programming I	5
PROG H5602		Programming II	5
STRU C5S01		Securing CNI	5
AUTO C5S02		Securing IACS	5
MANU		Advanced Manufacturing for Industry 4.0	5
ANAL H5S03		Applied Finite Element Analysis I	5
ANAL H5S04		Applied Finite Element Analysis II	5
MATL H5S04		Applied Mechanics of Materials	5
ANAL		Data Analysis for Advanced Manufacturing	5
MATL H5S05		Materials in Processing and Industry 4.0	5
MATL H5S01		Materials Science in Engineering	10
PROC		Post-Processing for Smart Industry	5
ENTR H5S01		Innovation for Sustainable Enterprise	5
RECH H5605		Research Methods for Engineering	5
ENGR		Materials Selection in Sustainable Engineering Design	5
DSGN H5S01		Design Driven Innovation	5
FLIG H5601		Aerial Vehicle Platforms	5
FLIG H5604		Aviation Finance and Legislation	10
COMP H5601		Avionics Hardware and Software Certification	5
DATA H5601		Data Acquisition and Analysis	5
ELEC H5601		Electric and Hybrid Propulsion	5
SYST H5602		Flight Control Systems	5
FLIG H5602		Flight Testing	10
QUAL H5601		Quality and Environmental Testing	5
FLIG H5605		Spacecraft Systems Engineering	5
FLIG H5603		Unmanned Aerial Vehicles	5

MGMT H5R26		BIM Management	10
ECON H5R02		Building Economics and Life Cycle Cost Analysis	10
CONT H5R01		Construction Project Management	10
BUIL H5R04		Energy and Buildings	10
MGMT H5R32		Facilities Management	10
MGMT H5R31		Legal Aspects of Management in Built Environment	10
ENGR H5R02		Public Procurement of Construction	10
MANU		Lean Manufacturing and Six Sigma	5
DATA H5R07		Data Analytics and Algorithms	10
DATA H5R05		Data and Data Storage Technologies	10
DATA H5R08		Data Visualisation and Insight	10
SYST		Intelligent Cyber Physical Systems	10
MACH		Practical Machine Learning	10
DATA		Programming for Data Analytics-Machine Learning	5
PROG H5R01		Programming for Data Scientists	10
DATA H5R06		Statistics for Data Science	10
INFO H5R03		Technology Integration	10
APPL		AI Application Domains	10
AITE		AI at the Edge	10
COMP		Blockchains and Distributed Ledgers	10
DATA		Data and Information Systems Management	10
DEEP		Deep Learning	10
INFO		Information Security Management	10
DATA H5R04		Infrastructure for Big Data	10
MGMT		Innovation Management	10
CYBE		Modern Cryptography	10
SCTY		Network and Cloud Security	10
PENE		Penetration Testing	10
PROG		Programming and Tools for Artificial Intelligence AI	10
PROG		Python Fundamentals	5
MGMT		Security Management and Compliance	10
SERV		Advanced Incident Response	10
ENGR-0141		Energy Modelling for nZEB	5
MECH-0050		Mechanical Services Systems	5
BULD-0037		Low Energy Build Sys Design	5
ENVI-0022		Sustainability & the Environment	5
BULD-0010		Energy Auditing	5
BULD-0038		Build Energy Perf & Analysis	5
ELEC-0060		Electrical Generation Tech	5
COMP-0250		ICT for Construction	5

ENGR-0142		Energy Modelling for HVAC	5
CONS-0072		Construction Project Management	5
CONS-0073		Contracts and Procurement	5
CONS-0074		Project Prog & Scheduling	5
CONS-0075		Lean Enterprise Thinking & Practice	5
ELEC-0061		Electrical Systems & Energy Monitoring	5
HRME-0001		Management of HR in a Construction	5
CONS-0040		Economics & the Con Sector	5
MGTE-0013		Financial Management	5
MGTE-0016		Strategic Management	5
LAWE-0008		Construction Law for PMs	5
TECH-0047		Technology Entrepreneurship	5
MSTU-0001		Mathematical Modelling	5
ICDE-0001		Analogue IC Design	5
EMBS-0007		Embedded System Design Patterns	5
ADSP-0001		Advanced DSP	5
SEMD-0001		Semiconductor Device Eng	5
COMM-0005		Communication Networks	5
HDLD-0001		HDL Design	5
SEMP-0001		Semiconductor Process Eng	5
COMM-0003		Digital Communications	5
COMM-0004		Wireless Communications	5
OPTO-0001		Optoelectronics	5
MIXS-0001		Mixed Signal IC Design	5
SCIE-0044		Biomedical Science	5
ENGR-0144		Advanced Mechanics & Material	5
TECH-0041		Green Technology	5
ENGR-0098		Biomedical Engineering	5
NANO-0001		Nanotechnology	5
TECH-0042		Cognitive Technology	5
ENGR-0040		Technology Management	5
STAT-0041		Strategic Tech Innovation	5
MGTE-0027		Quality Management & Regulatory Affairs	5
DEVP-0033		Inventive Problem Solving	5
DESG-0064		Product Design & Dev	5
PROD-0016		New Product Dev Strategy	5
TECH-0040		Convergent Technologies	5
ENGR-0145		Novel Material: Prop, Sel & Exp	5
ENGR-0036		Control Engineering	5
TECH-0047		Technology Entrepreneurship	5
SCIE-0052		Advanced Materials Characterisation	10
		Entering the Research Community	5
STRP-0007		<i>External 5-credit Module</i>	5
STRP-0011		<i>External 10-credit Module</i>	10

Business

Code	New Code	Module	ECTS
PROF-0044		Professional Skills Development 1	5
BUSI-0307		Business Theory Development & Application 1	5
RESA-0125		Research Philosophy	5
DATA-0007		Qualitative Data Analysis	5
STAT-0043		Advanced Statistical Analysis	5
STRP-0005		Directed Independent Learning	5
DATA-0015		Data Mining	10
STRP-0006		External Advanced Research Learning	5
		Entering the Research Community	5
STRP-0007		External 5 Credit Module	5
STRP-0011		External 10 Credit Module	10

Humanities

Code	New Code	Module	ECTS
A31741 STRP 0018		Equality, Diversity & Inclusion for Transformative Research	5
A31801 STRP 0019		Identity: Contemporary Understandings and Issues	5
A31782 STRP 0020		Advanced Qualitative Research	5
A02841 DATA 0007		Qualitative Data Analysis	5
A27201 STRP 0022		Theory Matters: Paradigms for Research	5
A13556 CULT 0033		Creative Practices	5
A14653 CULT 0034		Cultural Policies	5
A25782 RELI 0015		Spirituality, Authenticity and Method	5
A25821 PSYC 0162		Contemplative Psychology	5
A26001		Research Appreciation & Dissemination	5
A26225 SOVI 2020		Social Analysis and Social Change 1	5
A26242 SOVI 2024		Social Analysis and Social Change 2	5
A26221 SOVI 2021		Human Rights and Theories of Social Justice	5
LAWS H5401		Leadership Strategy and Governance	10
RECH		Arts Based Research in Early Years Education and Care	10
QUAL H5401		Leading Quality in Early Years Education and Care	10
PSYC		Educational Psychology	10
EDUC H5404		Transformative Children's Rights Education	10
BEVH H5401		Psychology in Practice	10
CHLD H5401		Contemporary Issues of Childhood and Youth Studies	10
CHLD H5R10		Perspectives on Family and Society	10
EDUC H5401		Adult and Community Education	10
CHLD H5R12		Youth Justice Interventions & Practice Approaches	10
CHLD		Children's Rights and Child Protection	10

ADDT H5R10		Addiction Studies	10
HEAL-0144		The Determinants of Health & Well-Being	10
SOCI-0098		Individual & Social Influences on Health & Well-Being	10
HEAL-0023		Politics of Health Care	10
RESA-0166		Qualitative Research for Practice	10
MGTS- 0032		Management for Health Professionals	10
PSYC-0151		Contemporary Social Psychology	10
PSYC-0152		Team Building Strategies	10
PSYC-0154		Exercise Psychology	10
PSYC-0150		Applied Sports Psychology	10
PSYC-0153		Sport Performance Psychology	10
PSYC-0155		Mental Skills Training	10
HEAL-0129		Developing Motivational Interviewing	10
HEAL-0146		Advanced Motivational Interviewing Skills	10
RESA-0165		Quantitative Research for Practice	10
HEAL-0128		Personal Development for Health and Wellbeing	10
A31163		Undertaking Systematic Reviews and Meta-Analysis	10
A31165		Critiquing Research Publications	10
A31164		Entering the Research Community	10
EDUC H5R16		Teaching and Learning 1	10
EDUC H5R17		Teaching and Learning 2	10
EDUC H5R04		Technology – Enhanced Teaching and Learning	10
EDUC H5R16		Assessment and Feedback	10
EDUC H5R03		Curriculum Design	10
EDUC		Coaching and Mentoring in Education	10
EDUC H5R07		Academic Leadership	10
EDUC H5R08		Research Supervision	10
RECH H5404		Design Psychology and Framing User Experience	10
RECH H5404		Principles of Interaction Design	10

RECH H5404		Design Research Methods	10
DSNG H5407		Human Interaction Design	10
DSNG		Prototyping Interactions	10
COMM H5404		Communication Design	10
PROF-0044		Professional Skills Development 1	5
STAT-0043		Advanced Statistical Analysis	5
RESA-0125		Research Philosophy	5
DATA-0007		Qualitative Data Analysis	5
STRP-0005		Directed Independent Learning	5
A28802 STRP 0006		External Advanced Research Learning	5
		Entering the Research Community	5
		Research Export Controls	10
STRP-0007		External 5 Credit Module	5
STRP-0011		External 10 Credit Module	10

Education

Code	New Code	Name	ECTS
LEAR-0051		Adult Learning	10
EDUC-0075		Professionalism in Education	10
POLI-0008		Policy and Policy making in FE	5
H5R02		Assessment and Feedback	10
H5R16		Teaching and Learning 1	10
H5R17		Teaching and Learning 2	10
H5R03		Curriculum Design	10
EDUC		Coaching and Mentorship in Education	10
H5R07		Academic Leadership	10
H5R08		Research Supervision	10
H5R04		Technology Enhanced Teaching and Learning	10
LAWS H5401		Leadership Strategy and Governance	10
LAWS H5410		Contemporary Issues in Early Years Policy Theory and Practice	10
RECH		Arts Based Research in Early Years Education and Care	10
QUAL H5401		Leading Quality in Early Years Education and Care	10
PSYCH		Educational Psychology	10
EDUC H5404		Transformative Children's Rights Education	10
		Entering the Research Community	5
STRP-0007		External 5 Credit Module	5
STRP-0011		External 10 Credit Module	10

Health Science

Code	New Code	Module	ECTS
SOCI-0098		Individual & Social Influences on Health & Well-Being	5
HEAL-0186		Group Development and Workshop Design	10
SOCI-0100		Personal Development	10
DEVP-0040		Advanced Personal Development	10
RESA-0087		Qualitative Research and Evaluation	5
DATA-0014		Qualitative Data Analysis	5
PSYC-0154		Exercise Psychology	10
PSYC-0150		Applied Sports Psychology	10
PSYC-0155		Mental Skills Training	5
HEAL-0146		Advanced Motivational Interviewing Skills	5
ZPHIC5106		Advanced Resistance Training	10
ZPHIC5107		Explosive Conditioning	10
ZPHIC5108		High Performance Sports Testing	10
ZPHIC5112		Metabolic Conditioning	10
ZPHIC5113		Sports Nutrition	5
ZPHIC5114		Periodisation for Strength and Conditioning	5
ZPHIC5109		Strength and Conditioning for the Older Adult	10
ZPHIC5110		Youth Fitness and Athletic Development	10
ZPHIC5111		Injury Rehabilitation and Reconditioning	10
ANALC580		Data Analysis for Sport	5
ANALC5803		Computerised Performance Analysis	10
ANALC5804		Contemporary Issues in Sport Performance Analysis	10
ANALC5802		Applied Performance Analysis	10
ANALC5805		Sports Analytics and Insights	10
COACC5801		Coaching Science	10
HEAL-0144		The Determinants of Health & Well-Being	5
HEAL-0023		Politics of Health Care	5
RECHC5801		Research Methods	10
MGTS-0032		Management for Health Professionals	10
PSYC-0151		Contemporary Social Psychology	10
PSYC-0152		Team Building Strategies	10
PSYC-0154		Exercise Psychology	10
PSYC-0153		Sport Performance Psychology	10
HEAL-0129		Developing Motivational Interviewing	5
HEAL-0146		Advanced Motivational Interviewing Skills	5
RESA-0165		Quantitative Research for Practice	5
RESA-0166		Qualitative Research for Practice	5

HEAL-0128		Personal Development for Health and Wellbeing	5
A31163		Undertaking Systematic Reviews and Meta-Analysis	5
A31165		Critiquing Research Publications	5
A31164		Entering the Research Community	5
RESA-0207		Undertaking Systematic Reviews and Meta-Analysis	5
RESA-0207		Entering the Research Community	5
RESA-0205		Critiquing Research Publications	5
HEAL-0145		Adv Facilitation Skills	20
UCD module SOC40760 UCD code		Dynamic Social Networks	10
		Entering the Research Community	5
STRP-0007		External 5 Credit Module	5
STRP-0011		External 10 Credit Module	10

APPENDIX D – Research Degree Submission Formats

D1. Overview of research submission formats

Written thesis

A Masters by Research thesis should not normally exceed 45,000 words of text (excluding figure captions, tables, footnotes, appendices, and bibliography). In the case of Science, Technology, Engineering and Mathematics theses, the words of text may be substantially less than these upper limits. If a thesis is likely to exceed this limit, permission must be sought (in writing) from the relevant Research Programme Board at least six months prior to submitting the thesis for examination.

A PhD thesis should not normally exceed 100,000 words of text (excluding figure captions, tables, footnotes, appendices, and bibliography). In the case of Science, Technology, Engineering and Mathematics theses, the words of text may be substantially less than these upper limits. If a thesis is likely to exceed these limits, permission must be sought (in writing) from the relevant Research Programme Board at least six months prior to submitting the thesis for examination.

On receipt of feedback in respect of the initial, soft-bound submission and the completion of required amendments, if any, the learner must submit at least two copies (and additional copies if there are multiple external examiners or if required by funding agencies) of the final document to SETU. The thesis must be typed and hard bound in a fixed binding so that leaves cannot be removed or replaced at this point.

An electronic version of the final thesis and/or of any other work submitted for the award must also be submitted to SETU. Electronic copies of final theses should be sent in Portable Data Format (.pdf) to Graduate Studies, together with a completed and signed Thesis deposit agreement. Unless there are intellectual-property related restrictions, the electronic version of the thesis will normally be made available through the SETU University repository.

Material Relating to Exhibition or Performance

Requirements for submissions, of which performance, practice or exhibition forms a significant part for the purposes of postgraduate research awards, are as follows:

1. The work must have been undertaken as part of a registered postgraduate research programme.
2. The final submission must be accompanied by a permanent record of the creative work(s) or performance.
3. The creative work(s) must be set in its relevant theoretical, historical, critical or visual context.
4. There must be a written thesis/analysis of significant volume.
5. The work will constitute an independent and original contribution to knowledge.
6. The submission will demonstrate an understanding of appropriate methodology.

The examination of compositions, performances, exhibitions or similar shall consist of either (a) or (b) below:

- (a) A portfolio of works, none of which has been previously submitted to another awarding body and which, depending on its nature and scale, shall be agreed between the relevant academic department and SETU. The portfolio would normally comprise a variety of works but may, exceptionally, comprise a single large-scale work.

And

A thesis conforming to the normal scholarly requirements, placing the candidate's work in the relevant theoretical, historical, critical, artistic or design context and demonstrating an understanding of that context.

Or

- (b) A public performance/exhibition of the work including, in the case of performance, the presentation of a programme of appropriate duration and content, to be approved by the Research Programme Board

And

A thesis conforming to the normal scholarly requirements, placing the candidate's work in the relevant theoretical, historical, critical, artistic or design context and demonstrating an understanding of that context.

A bound thesis should be presented, together with the other records (e.g. notebook, journal, video, CD, CD-ROM, audio recording, and exhibition catalogue) in appropriate form (e.g. album, specially designed box, et cetera).

Published work

Learners may present their research for consideration for the award of a research degree based on published work. In instances where multi-authored works are cited, the candidate must indicate clearly the extent of their individual contribution to the work. In very exceptional circumstances, SETU Academic Council is prepared to consider direct applications from independent candidates for the award of a higher degree on published work.

In order to be considered for such an award, a candidate must have published a body of work, which shows original and independent thought, containing results of a coherent programme of research so as to be, in the judgement of the examiners, worthy of recognition, adding significantly to existing knowledge of the subject treated.

Work in the course of publication will not be examined; the work must be accessible, in the public domain. The candidate must include the following in the initial application:

- (a) A list of publications.
- (b) A curriculum vitae.

If SETU Academic Council so determines, the candidate will be invited to register and to submit any published work (four copies) and the appropriate fee. Only when SETU has accepted the completed registration form is the candidature valid. Arrangements for the examination of such candidates will be made by SETU. The candidate's published

work is then forwarded to the examiners. The normal examining procedures will apply from this point.

D.2. Format of a written thesis

For the initial submission, the candidate must prepare copies of the thesis for distribution to the internal examiner and the external examiner(s). Initially, the candidate should present the thesis in soft binding to facilitate any subsequent revisions that may be required.

On receipt of feedback in respect of the initial, soft-bound submission and the completion of required amendments, if any, the candidate must normally submit copies of the thesis to SETU. Two to four hard bound copies of the thesis, each including a declaration to the effect that the thesis is an original work must be submitted to the Graduate Studies. Please pay particular attention to printing requirements and guidelines. (Mandatory: copies for Library and Principal Supervisor (additional copies may be required if there are multiple supervisors or if required by a funding agency)). The thesis must be typed and hard bound in a fixed binding, so that leaves cannot be removed or replaced at this point.

In the case of a thesis, which is accompanied by an exhibit or artefact produced or developed by the candidate, which forms a significant part of the submission, it shall be SETU's responsibility to arrange appropriate and convenient access to the exhibit or artefact for the purpose of assessment by the external examiner(s).

Thesis Abstract

An abstract not exceeding 300 words should be provided as an integral part of the thesis, and should precede the main text. Each copy of the thesis submitted should include a copy of the abstract. The abstract should be printed or typed in single spacing and should indicate the author and title of the thesis in the form of a heading.

Typesetting

The thesis should be in typescript or print (12-point type) on A4-size paper single-sided, with pages numbered consecutively. The main text should be typed or printed in one and one half or double spacing; footnotes and quotations should be typed or printed (10-point type) in single spacing. On each page, there should be a left-hand margin of at least 40mm and a right-hand margin of at least 20mm. Each such page should also have a page number.

Photographs or diagrams, if any, should, where feasible, be incorporated digitally within the text. Where this is not appropriate or practicable they should be fixed firmly in place. They should be provided with reference numbers and legends.

Where the thesis consists of more than one volume, the pagination should indicate the relevant volume number as well as the page-number on each page.

Appendices should be named alphabetically, and each appendix paginated consecutively, but separately, from the main text and from each other.

Page numbers should be located centrally at the bottom of the page and about 20mm above the edge of the page.

Front Cover and Spine

The front cover of the thesis shall be a single plain colour and contain the following information only in gold lettering:

- (a) The title of the thesis
- (b) The initials and name of the candidate
- (c) The award for which the thesis is submitted, the year of submission and the name of the awarding authority
- (d) The volume number and the total number of volumes where the thesis consists of more than one volume.

The same information (excluding the title of the thesis) shall be printed along the spine of the cover in such a way as to be easily legible when the copy is lying flat, with the front cover uppermost. All lettering on the cover and the spine shall be of plain graphic design.

Title Page

The title page of each volume of the thesis should contain the following information:

- (e) The full title of the thesis, with any subtitles, in 20 point type
- (f) If there is more than one volume, the total number of volumes and the number of the particular volume
- (g) The full name of the author with, if desired, any qualifications or distinctions
- (h) The award for which the thesis is submitted
- (i) The name of SETU
- (j) The names(s) of the supervisor(s) of the research
- (k) As the last line on the page, the statement 'Submitted to SETU, (Month) (Year)'.

Footnotes and Quotations

Footnotes and indented quotations should be single line spaced. The footnotes in each chapter should be numbered consecutively. A list of references may be included either at the end of the chapter to which they relate, or in a separate reference section located at the end of the main body of the text, before any appendices. References should be thorough and comprehensive.

Bibliography

The thesis must include a bibliography of the works consulted in its composition. The referencing system must be consistent with the normal system used within that discipline.

Publication

The candidate may publish material in advance of presentation of the thesis, but reference should be made to any such publication, including material submitted for publication or in press, in the thesis.