



**GUIDELINES FOR A
CODE OF PRACTICE
FOR PhD SUPERVISION**

**Compiled by:
The Interfaculty Graduate Studies Board**

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Executive Summary

In preparing this document we received and considered recommendations from all faculties within UCC. We examined the way records are kept currently and wrote to all departments to understand current practices. We would like to thank Faculties, Departments and the many individuals for their suggestions and constructive criticism of the earlier drafts to this document and in particular those who continued the discourse with us to improve the document.

The IFGSB makes the following college wide recommendations. Individual Departments or faculties may wish to provide further local guidelines on the implementation of this code of Practice, including the addition of more detailed regulation relevant to the particular discipline.

Recommendations:

1. That each Department have a Graduate Studies Committee (as adopted by Academic Council on June 2, 2000).
 - Produce an annually updated Departmental Graduate Studies Handbook.
 - The DGSC be familiar with progress of Ph.D. students .
2. That each Ph.D. student have an active Supervisor(s).
3. That there be a series of reviews that the student should satisfactorily complete and these reviews be the responsibility of:
 - The DGSC for the 12 month review.
 - The DGSC for the Mid-term Evaluation.
 - The Examiners for the Thesis submission and viva.

Chapter 1.

Introduction

The suggested code of practice is being proposed after extensive consultations throughout UCC. It draws upon established practice in a range of departments and has benefited from access to a number of other codes of practice in operation in other institutions. In an area where by tradition formal structures are minimal it is intended that these guidelines for a code of practice would act as a form of support for both students and staff. These guidelines address the Ph.D. only.

The suggested guidelines implies a shift of emphasis in two areas:

1. By tradition the progress of the Ph.D. student is usually seen as the responsibility of the supervisor. The proposed code of practice recognizes that the student's progress is equally a departmental concern.
2. In these proposals the Ph.D. is perceived as a monitored programme of training and research which can be adapted to the particular needs of each discipline. The student's progress is monitored by a committee (the DGSC) to which the student and the supervisor would report.

The aim of these guidelines is to provide a framework for PhD supervision across the whole range of UCC departments. It is recognised and accepted that within this framework departments will implement a diversity of strategies and practices that reflect the needs of research students in different subjects and disciplines.

The following suggestions are also made in the context of full time students based in one particular department. It will be essential that any guidelines also take into consideration the needs of part time students as well as those receiving joint supervision or grounded in interdisciplinary, interdepartmental, or inter-institutional programmes. Any timetabling of assessing part-time students should be adjusted on a *pro-rata* basis.

The **Interfaculty Graduate Studies Board (IFGSB)** was set up in 1998 to take over the role of the NUI in relation to Ph.D. studies and Masters by research. Its day to day tasks include approving Ph.D. applications, considering Ph.D. and Masters by Research examiners reports and reporting to the Academic Board.

The proposed **Departmental Graduate Studies Committee (DGSC)** for each department would be the body (within departments) that students and supervisors would have access to, for the purpose of facilitating student progress and improving the Ph.D. study experience for the student. It might consist of the Head of department plus two other academics. In the case of larger/smaller departments alternative arrangements may be made.

The Implications of the Freedom of Information Act

There will be numerous areas where the Freedom of Information Act will require clear procedures and documentation such as in the event of an applicant being unsuccessful, it is important that reasons are recorded and all stages of the procedure are documented.

Chapter 2.

Proposed Route of Academic Progression to the Ph.D. degree

The following are the proposed stages in the progression towards the Ph.D. degree. The student is required to complete these steps to the satisfaction of the appropriate body (e.g. the DGSC and IFGSB).

- Stage 1. **Admission** (Faculty and IFGSB)
- Stage 2. **Early Evaluation** within twelve months (DGSC)
- Stage 3. **Mid-term evaluation** held in the middle of the term of the Ph.D. (DGSC)
- Stage 4. **Thesis submission and viva** examination (Examiners)

Those involved at each stage

Stages	Student	Supervisor	DGSC	Extern	Faculty	IFGSB
Stage 1	*	*	*		*	*
Stage 2	*	*	*			
Stage 3	*	*	*			
Stage 4	*	*	*	*		*

Stage 1. Admission Requirements

After the student has found a suitable supervisor, an application form is completed and signed by the Head of Department/Section/Programme. This form is lodged with postgraduate admissions, who then forwards same (with supporting documentation) to the appropriate Faculty. After Faculty approves the application, it is then forwarded to the Interfaculty Graduate Studies Board for review. Notification of approval/rejection of the application by the IFGSB is then sent to the Academic Board. The Postgraduate Admissions Office informs the student of the result of the application. Certain Faculties, where appropriate, may wish to admit students to the Master's Programme prior to a subsequent change in registration to the PhD.

Stage 2. Early Evaluation within Twelve Months

This is not intended to be an in-depth investigation but rather a brief assessment. It is an important aspect of overall quality control in the Department and for that reason should be carried out by the DGSC. The Supervisor(s) and a nominee of the Departmental Graduate Studies Committee should carry out the early evaluation as soon as possible but not later than twelve months and report to the DGSC. The purpose of the evaluation is for the Department to determine if the student is making satisfactory progress and has a defined research topic and research schedule. The form of the evaluation may include an interview and/or a seminar presentation. At a minimum, the evaluation should include separate reports on progress by both the student and supervisor(s). In the event of unsatisfactory progress, the supervisor(s) and the DGSC should recommend means of improving progress. Faculty of Arts PhD candidates initially registered as MPhil students may be recommended for transfer to PhD registration if the supervisor(s) and

DGSC consider it appropriate at this stage. However, the student must satisfy the regulations for PhD entry.

Stage 3. Mid-term evaluation

This evaluation is held in the middle of the term of the Ph.D (typically about 18 to 24 months into the Ph.D or earlier if considered appropriate, for a full-time student). The Supervisor(s) and a nominee of the Departmental Graduate Studies Committee should carry out this mid-term evaluation and report to the DGSC. It consists of a formal presentation by the student. The purpose of this evaluation is: to examine the student's progress; to ensure the student has sufficient knowledge of the fundamentals of the chosen discipline; to ensure the student has developed a clear plan of research and has identified a viable topic; to assess the likelihood of successful completion within an acceptable timeframe. The student would be expected to produce a detailed research proposal and is expected to successfully defend the proposal. For details of each Department requirements, see the Departmental handbook on Graduate Study. Approval for an extern at this time is sought from Faculty and entered into the student database.

Stage 4. Thesis submission and viva

Each Departmental Graduate Study Handbook should set out the requirements for the written Thesis and the viva examination. The Examinations Office informs the Extern of requirements expected of the Ph.D. and the deadlines for receipt of extern examiners report.

Chapter 3.

Route of Administrative Progression to the Ph.D. degree from Application to thesis submission

It is essential that all aspects of a Ph.D. approval are recorded on the ITS Student Database system. To facilitate this, the relevant offices, as specified, in the Registrar's Office should be provided with the following information.

Stage 1 – Admission

Ph.D. inquiries made at the Postgraduate Admissions Office should be referred to the relevant Departmental Graduate Studies Committee (DGSC). The applicant will be required to submit the Standard Postgraduate Studies Application Form to the *Postgraduate Admissions Office*. In the case of **Non-UCC** applicants the following documentation should accompany the application form:

- *Birth Certificate
- *Academic Transcript
- *Two Referees Reports (indicating their potential for Postgraduate Study).

Completed Ph.D. application forms are forwarded by the *Postgraduate Admissions Office*, to the appropriate Faculty. The recommendation to accept / reject the applicant made by the Faculty is referred to the IFGSB for approval and reported to the Academic Board. Students are informed of the decision of the Academic Board by the *Postgraduate Admissions office* together with details regarding registration, fees and the rules governing submission of the Ph.D.

It is essential that each approved application contain the following details. These are recorded by *Student Records and Examinations Office* on the Student Database:

- Number of Terms approved
- Provisional Title of Thesis
- Commencement date
- Composition of the DGSC
- Name of Supervisor(s)

Stage 4 – Thesis Submission and Viva Examination

It is obligatory for a Student to notify the Supervisor(s) of his/her intention to submit at least three months prior to the proposed date of submission. *PhD Submission Form C* should be completed at this stage (*see Appendix I*).

Current regulations provide that Ph.D. students have six years from the date of acceptance to complete the Degree. Students who do not complete within the specified six years must arrange with the DGSC to seek IFGSB approval for an extension. *Student Records and Examinations Office* to be informed by IFGSB of all such approvals.

NUI will notify *Student Records and Examinations Office* when Externs are officially appointed. Details of Extern Examiners shall be recorded on the Student Database.

The Supervisor(s) arranges Viva and informs Extern and Student of dates, times etc.

On completion of Viva the following to be sent to *Student Records and Examinations Office*:

- Library (Hard bound) copy of Thesis
- Letter from the Supervisor(s) stating that all recommended amendments have been carried out
- Letter from Student granting his/her permission to lodge thesis in Library.

Chapter 4.

Responsibilities

To deliver highly competent Ph.D. graduates requires significant effort on the part of all involved in the education process. The following is an outline of the responsibilities of those involved.

4.1 Responsibilities of the Student

It is the responsibility of the student to maintain a professional relationship at all times with the supervising academic members and other university staff. The Ph.D. student is responsible for the progress and completion of her/his doctorate study. After registering as a Ph.D. student it is the responsibility of the student to:

1. Be familiar with the University's doctoral regulations and departmental guidelines and written information pertaining to Ph.D. studies.
2. Be aware of the University administrative requirements pertaining to all steps in the Ph.D. process (e.g. dates and deadlines for thesis submission, etc.).
3. Inform the supervisor(s) on the type of guidance and comment considered most helpful, and agree to a schedule of meetings which will ensure regular contact.
4. Develop competence in written and communication skills.
5. Take the initiative in identifying problems and seeking solutions to these.
6. Satisfactorily pass any coursework which may be required by the DGSC.
7. Document the progress of work as agreed with the supervisor(s) and present written or other material in sufficient time as requested.
8. Present written or other reports in sufficient time as may be required by the DGSC.
9. Satisfy the requirements of the Department/Programme at the Early Evaluation, for which details are set out in the Departmental Graduate Study Handbook.
10. Satisfy the DGSC and Supervisor(s) in the Mid-term evaluation which is held in the middle of the term of the Ph.D. and consists of a formal presentation by the student. The purpose of this evaluation is to examine the student's progress, ensure the student has sufficient knowledge of the fundamentals of the chosen discipline, the student has developed a clear plan of research, and has identified a viable topic. The student is expected to present a detailed research proposal and successfully defend that proposal. For details of each Department requirements, see the Departmental handbook on Graduate Study.
11. Prepare and submit a Ph.D. thesis of original research, in consultation with the supervisor(s) and the DGSC.
12. Establish the satisfaction of the examiners at the Viva Voce that the work reported in the thesis is the student's own.

4.2 Responsibilities of the Supervisor(s)

It is the responsibility of the supervisor(s) to maintain a professional relationship at all times with the student and to:

1. Give guidance about the nature of research and the standard expected, about the planning of the research programme and presentation of a research proposal, about literature research and appropriate courses to attend.
2. Agree the nomination of an extern (after the student satisfactorily completes the Mid-term evaluation) with the DGSC for approval by Faculty.
3. Give advice on the necessary completion dates of successive stages of work so that the thesis may be completed within the scheduled time and to familiarise the student with the periodic reviews and in particular the Mid-term evaluation.
4. Encourage the student to show initiative and self-motivation in order to pursue independent research with confidence.
5. Establish and maintain a schedule of regular meetings with the student. Such meetings to be held at the request of either the supervisor(s) or the student and would normally be expected to take place monthly during the academic year. In certain circumstances, e.g. external research locations, less frequent meetings may be considered appropriate.
6. If a supervisor(s) is to be on leave for a period greater than one month, the supervisor(s) should ensure that adequate supervisory arrangements are made.
7. Request regular written work, interim reports or research results as appropriate and return such reports, with comments, within one month during the academic year. Draft chapters of thesis should be returned with comments within one month during the academic year.
8. Facilitate the student meeting other researchers in the field and attending meetings or conferences as appropriate.
9. Ensure that the thesis research of the student is within the supervisor's professional expertise (otherwise a new supervisor should be appointed by the DGSC) and, where a change in research direction occurs, recommend appropriate graduate supervisory adjustments to the DGSC.
10. Ensure that the student is made aware of inadequate progress by specifying the problems and suggesting ways of addressing them. If the supervisor(s) feels obliged to recommend a candidature be terminated because of unsatisfactory progress, he must make this recommendation to the DGSC who will inform the student accordingly.
11. Advise the DGSC of the progress of the student prior to each review.
12. Ensure that the work reported in the dissertation is the student's own. In the event that the Supervisor(s) has concerns about plagiarism this should be reported to the DGSC.
13. Encourage where appropriate the publication of the results of the research, provided that any published work is coherently incorporated into the thesis.
14. Ensure agreement is reached with the student on authorship of publications and acknowledgements of contributions.
15. Ensure that the student is aware of the standard of work that is generally acceptable.
16. Seek to ensure that research projects sponsored by industry grants or contracts should not impose unreasonable restrictions on dissemination and publication of work done as part of a doctoral thesis or compromise the independence of the research. Where a confidentiality agreement exists between a Department and a sponsor, the implications should be made explicit to the student. Submission of the thesis should not be delayed by the Department/Sponsor's interest in the confidentiality of the student's own work.
17. If the research leading to the Ph.D. is done in laboratories in which several candidates, technicians and post-doctoral fellows contribute to the project, clear delineation of the

contribution made by the candidate is essential in a thesis and work done by others should be explicitly defined and acknowledged appropriately.

18. In the event of a student not carrying out their work to the satisfaction of the supervisor(s), that a written warning be given to the student by the chairman of the DGSC.

4.3 Responsibilities of the Department

1. It is the responsibility of the Department to ensure that an adequately constituted and resourced Departmental Graduate Studies Committee (DGSC) exists. Membership of the DGSC is normally confined to full-time academic members of the Department and, where possible, should rotate.
2. The DGSC agrees with the supervisor(s) and the student an appropriate group of courses that the student must take.
3. The DGSC shall produce a departmental graduate handbook and issue it to all intending applicants. The departmental handbook should contain details on requirements and procedures relating to all graduate matters administered at departmental level and in particular, include:
 - A statement on the facilities and resources available to Ph.D. students within the department and within the University, including the library, computing, technical and laboratory facilities.
 - A brief biography of academics and their research interests including most recent publications and successful grant areas of research.
 - Departmental policy on the timing and mode of presentation of reports, reviews, seminars and examinations by which the student is assessed.
 - Departmental policy regarding coursework and the minimum number of courses that a student must pass, as part requirements for the Ph.D. degree. This should include explicit information that the student should demonstrate a general knowledge of the discipline and a detailed knowledge of the area of research.
 - Departmental requirements regarding demonstration, teaching and tutorials by graduate students.
 - Departmental policy regarding interlibrary loans.
 - Department policy on student costs for attendance at conferences.
 - Departmental calendar (seminar dates etc).
 - Departmental guidelines regarding thesis content and standards expected.
 - Departmental specifications for the publishing of papers in international journals or international conference presentations as part of the requirements for the Ph.D.
 - A statement on the University's policy and guidelines on intellectual property.
 - Procedures by which the student or the supervisor(s) may make representations as appropriate as significant difficulties arise (grievance procedures).
 - Requirements for student training in health and safety issues.
4. The likelihood of a student's success is enhanced by proper selection and admission procedures which include monitoring that:
 - The student is suitably qualified for admission and has satisfied the Department, Faculty and the IFGSB with regard to the admission requirements.
 - The student appears to have the capacity required to undertake the work successfully and in reasonable time.
 - The proposed research project is appropriate for the degree.
 - The department is the most appropriate in which to conduct the proposed research.
 - The proposed research project is feasible in terms of time, departmental facilities, departmental equipment, departmental technical staff, departmental administration

support, source and consumable materials and funding for the expected duration of the research project.

5. The DGSC should ensure that appropriate supervision is available to the student at all times and that:
 - The proposed supervisor(s) is appropriately qualified, sufficiently expert and interested in the research area to offer the student proper advice.
 - Supervisors should normally be permanent academic members. Temporary academic members may co-supervise with a senior academic who is a permanent academic member.
 - The supervisor(s) should not advise a greater number of graduate students than would compromise the quality of advice to any student.
 - The workload (undergraduate, graduate, administrative) of the supervisor(s) is such as to allow sufficient time to give proper supervision.
 - Ascertain that alternative supervisory arrangements be made if the need arises, e.g. when a supervisor is on leave of absence.
 - Where a change in research direction occurs, appropriate supervision adjustments are made.
 - Joint supervision is encouraged where the research spans different areas or disciplines.

6. The Department should ensure that mechanisms are in place to promote regular contact between academics, support staff and graduate students and include:
 - Orientation programs
 - Departmental seminars
 - Training workshops in communication skills and health and safety procedures

7. The DGSC should ensure that explicit information is given to the student regarding minimum requirements for continuation in the Ph.D. programme with particular regard to the Mid-term evaluation .

8. In cases of dispute between a student and a supervisor, the DGSC should:
 - a) discuss the matter with the parties involved.
 - b) write to parties concerned giving an opinion in the situation and requesting a written response.
 - c) if a satisfactory resolution is not reached, refer the matter to the ombudsman.

9. Any disagreements between the DGSC and the Head of Department that cannot be resolved in the normal way within the Department should be referred to the Interfaculty Graduate Studies Board.

4.4 Responsibilities of the Extern

It is the responsibility of the Extern to ensure that:

1. The thesis is assessed by standards appropriate for the Ph.D. degree.
2. The student in his/her viva voce is assessed by standards appropriate for the Ph.D. degree.
3. A report on the thesis and viva is forwarded to the Examinations Office within 5 days of the viva.

4.5 Responsibilities of the Interfaculty Graduate Studies Board

It is the responsibility of the IFGSB to ensure that best practices are implemented and University standards are attained university-wide and within faculties, schools, departments and centres of the university and to ensure that:

1. There are clear admission requirements and procedures for the particular degree.
2. Admission requirements of the university are adhered to.
3. There are clear guidelines for examiners outlining in particular the university's expectation for the degree.
4. There are clear guidelines for the submission of thesis and the examining thereof.
5. The university's examination standards and requirements for the particular degree are adhered to.
6. The university's administrative procedures assist students to complete their degree as expeditiously as possible.

Chapter 5.

Current Regulations for the Ph.D (As in the University Calendar 2003-2004, Part II)

Admission

1. To be eligible for consideration to enter on a programme of study and research for the Degree of PhD, a candidate must have obtained a standard of at least Second Class Honours, Grade I, in an approved primary degree, or presented such other evidence as will satisfy the faculty of his/her fitness.
2. All applications should be made to the Admissions Office in the first instance.
3. All applications for admission to a programme of study and research for the Degree of PhD shall be considered by the relevant faculty, following recommendation of the Head of Department in which the programme is to be pursued, after consultation with the Departmental Graduate Studies Committee.
4. The candidate's application, if accepted by the faculty, shall be submitted to the Interfaculty Graduate Studies Board for approval. The provisional title of the thesis and a short description outlining the nature of the work must be provided to the Board when the student is being recommended for acceptance as a candidate for the PhD Degree. If the student's application is approved, he/she must register as a PhD candidate for the years prescribed, as a minimum.
5. In the case of the Faculty of Arts, all prospective PhD students will be registered for an MPhil in the first instance, and transfer to the PhD after at least one year from the date of first registration for the programme, on the recommendation of the Head of Department and the Supervisor and the approval of the Interfaculty Graduate Studies Board. Appropriate Masters' graduates with at least Second Class Honours can also apply for direct entry to a PhD.
6. In the case of the **PhD in Original Composition (Music)**, a candidate must normally hold an honours Master's Degree, or its equivalent, specialising in original composition or, in exceptional circumstances, an experienced composer with a substantial record of achievement may be admitted to the programme on the basis of a primary degree of an appropriate standard.
7. To be eligible to enter on a programme of study and research for the Degree of **PhD in Spanish/Hispanic Studies**, applicants should normally have an MA in Spanish/Hispanic Studies.
8. Candidates for the **PhD Degree in Greek and Roman Civilisation** must have obtained at least 75 credits in either Greek or Latin language by the end of their period of study for the PhD Degree. If they enter with a Joint Honours degree in Latin or Greek, they are required to register under the rubric of the degree language.
9. The Academic Board is empowered to withdraw the acceptance of any candidate, following consideration of a report from the Interfaculty Graduate Studies Board.

General

10. The candidate shall pursue research for a period of three years from the date of first registration for the programme and shall also follow such a programme of study in the University as may be prescribed by the Academic Board unless, on the recommendation of the faculty and the Interfaculty Graduate Studies Board, the Academic Board accepts a period of two years instead of three years from the date of first registration for the programme in the case of a candidate whose attainments justify it.

11. In the case of the Faculty of Arts, the length of a PhD Thesis should not exceed 80,000 words, unless there are exceptional circumstances, and provided it has the support of the Departmental Graduate Studies Committee.

12. Candidates are expected to possess or acquire such competence in a modern language as their programme of study requires.

13. A candidate for a PhD Degree will normally submit his/her thesis at the earliest opportunity following the end of the prescribed period of study. Permission to submit the thesis shall be approved by the Supervisor and Head of Department. Candidates are allowed six years in which to complete the Degree from the date of acceptance. If candidates do not complete the Degree within six years from the date of acceptance they must re-apply to the faculty, presenting justification for an extension.

Supervision

14. The Academic Board, on the nomination of the Head of Department following consultation with the Departmental Graduate Studies Committee and on the recommendation of the faculty, will assign a member of staff to supervise the candidate's research. The name of the Supervisor should be forwarded when the candidate's name is submitted by faculty to the Academic Board. The Academic Board, on the recommendation of the Interfaculty Graduate Studies Board, may arrange for joint supervision of the thesis. In the case of joint supervision, one of the Supervisors need not be a member of the University staff.

15. Unless permission is given to the candidate by the Academic Board, on the recommendation of the Faculty, to work elsewhere under the general direction of the Supervisor, the research for the Degree will be carried out in the Department mainly responsible for the subject area concerned but, where the research is inter-disciplinary in nature, there shall be due co-operation between the main Department and the other Department(s) involved.

16. In the case of the **PhD in Original Composition (Music)**, the programme will comprise regular individual tutorials with a supervisor and group participation in seminars on original composition. The PhD work for assessment will consist of a portfolio of original composition and a commentary.

17. The candidate's research must be carried out, and the thesis for the degree must be prepared, under the direction of the Supervisor. The Supervisor should assess the progress of the candidate and, if he/she arrives at the view that the candidate is unlikely to achieve the degree for which he/she is registered, this should be notified to the Head of Department who, following consultation with the Departmental Graduate Studies Committee, should communicate with the candidate without delay.

Examination

18. In all faculties, Examination Boards for PhD Degrees will involve at least two Intern Examiners and at least one Extern Examiner approved by Academic Board on the recommendation of faculty.
19. The Intern Examiners shall be nominated by the Head of Department following consultation with the Departmental Graduate Studies Committee and will normally include the Supervisor. One of the Intern Examiners shall be the relevant Professor, or subject to the agreement of the Head, the nominee of the Professor.
20. The Extern Examiner shall be nominated by the Head of Department following consultation with the Departmental Graduate Studies Committee and the relevant Professor and the Supervisor.
21. The Extern Examiner shall act as act as Chair of the Examination Board.
22. In the case of a thesis being presented by a full-time/part-time member of the University staff, one of the Intern Examiners shall be replaced by an additional Extern Examiner.
23. It is the responsibility of the PhD student to notify the Student Records and Examinations Office of his/her intention to submit at least three months prior to the proposed date of thesis submission. Once notified, the Student Records and Examinations Office will forward a form to the Head of Department requesting the name(s) of the Extern(s) and Intern Examiners. The Head of Department will submit the completed form to the relevant Faculty for approval at the next Faculty Meeting.
24. In the year in which the candidate's work is due for examination, the candidate must lodge three copies of the PhD thesis (gum or spiral bound) together with a Submission Form and the requisite fee in the Student Records and Examinations Office. Each copy of the thesis must include a summary of the content, not exceeding 300 words in length, submitted in CD/diskette format. Submission of the thesis must be made at least three months in advance of the meeting of the Interfaculty Graduate Studies Board at which the Examiners' Reports are considered. The Interfaculty Graduate Studies meetings will be held on:
- 8th October 2003
 - 12th November 2003
 - 21st January 2004
 - 18th February 2004
 - 5th May 2004
 - 16th June 2004
25. The Submission Form shall contain all the information required for processing the thesis, including the final title of the Thesis and shall be signed by the Supervisor and the Head of Department. Where a candidate considers that such signatures for entry have been withheld unreasonably, he/she may appeal to the President of the University.

26. Work for which a degree of this University, or elsewhere, has already been obtained will not be accepted as the main work for a PhD degree. A confirmatory statement to this effect must accompany the submission.
27. The PhD thesis must be primarily based on research that has been carried out during the period of registration for the degree. If material is included that has been published by the candidate prior to the date of registration, it must be clearly identified as such in the thesis.
28. A PhD thesis may be based on, or include, writings already published by the candidate, if they derive from research carried out during the period of registration for the degree. If material is included that has been published under joint authorship, then the work of others must be duly acknowledged.
29. Examiners' Reports must be received in the Student Records and Examinations Office at least 10 working days prior to a meeting of the Interfaculty Graduate Studies Board. A candidate's conferring is dependent on receipt of the Examiners' Reports. Conferring ceremonies are normally held in June, September and December.
30. The Chair of the Examination Board shall ensure that the Examiners consult with one another. The Examiners shall conduct an oral examination, unless the Interfaculty Graduate Studies Board dispenses with the oral on the recommendation of the Examiners. Each Examiner shall prepare a written report on the thesis. Where the Examiners are in agreement, the Extern shall submit a joint report to the Student Records and Examinations Office for consideration by the Interfaculty Graduate Studies Board.
31. Where the Examiners are not in agreement, separate reports shall be made. Copies of such reports will be submitted for consideration to the Interfaculty Graduate Studies Board with a view to a recommendation to Academic Board on the award of the degree or otherwise. The Academic Board, on the recommendation of the Interfaculty Graduate Studies Board, shall then appoint an additional special Extern Examiner, if necessary.
32. The Degree of PhD shall be awarded in accordance with the decision of Academic Board following receipt of the recommendation of the Interfaculty Graduate Studies Board. The Academic Board may award a lower degree if merited on the recommendation of the Interfaculty Graduate Studies Board.
33. A recommendation for the award of the degree of PhD will not be made unless the Examiners report that the work is worthy of publication, in whole or in part, as a work of serious scholarship.
34. If the Interfaculty Graduate Studies Board recommends that the PhD Degree be awarded, the candidate must re-submit a hard bound copy of the PhD Thesis, embodying any changes prescribed by the Examiners, where recommended. A recommendation by the Interfaculty Graduate Studies Board to Academic Board, for the award of the degree shall not be made until the revised thesis, incorporating the recommended changes, and confirmed by the Supervisor, has been lodged with the Student Records and Examinations Office.
35. Unless candidates indicate otherwise, a copy of the thesis will be lodged in the University Library. Candidates will be asked to agree that a copy of their thesis deposited in the Library will be available for consultation under conditions laid down by the University.

36. All theses shall remain the property of the University.

37. In the case of an Interdisciplinary Programme, the Chair of the Board of Studies may assume the role of a Head of Department and the Board of Studies may assume the role of the Departmental Graduate Studies Committee, where appropriate and where approved by faculty. A leaflet giving full information on the format, layout and presentation of PhD Theses is available from the Student Records and Examinations Office.

Appendix I

Standard Operating Procedure for processing PhD Theses.

There are four forms that are required to be completed as part of the PhD process:

1. Form A: to be completed by the Student, Supervisor(s), and Head of Department on application for admission;
2. Form B: to be completed by the Head of Department, following consultation with the Departmental Graduate Studies Committee, on application for approval of extern and intern examiners
3. Form C: to be completed by the Supervisor(s), and Student on submission of thesis to the Student Records and Examinations Office
4. Form D: to be completed by the Intern and Extern Examiners on completion of Viva examination.

Step 1. Application for Admission – Form A

Application

A completed application for admission *Form A*, signed by the Head of Department, with necessary transcripts and references (when required) is lodged with the **Postgraduate Admissions Office**. Applications are accepted at any time during the year.

Approval

When the admission documents are deemed complete by the Postgraduate Admissions Office, the application is then forwarded to the relevant faculty office for processing; first through Faculty and then through the Interfaculty Graduate Studies Board. The dates of meetings of the Faculty, the Interfaculty Graduate Studies Board and the Academic Board are all listed in the UCC Calendar. After the Interfaculty Graduate Studies Board meeting, the Postgraduate Admissions Office notifies the applicant of the decision on admission. The decision of the Interfaculty Graduate Studies Board is sent to the Academic Board for Information. PhD approvals should include the following information:

Number of Terms
Commencement Date
Name of Supervisor(s)
Title of Thesis

Step 2. Approval of Names of Intern and Extern Examiners – Form B

It is the responsibility of the PhD Student to notify the Student Records and Examinations Office of his/her intention to submit at least three months prior to the proposed date of thesis submission. Once notified, the Student Records and Examinations Office will forward *Form B* (attached) to the Chairperson of the Departmental Graduate Studies Committee. The chairperson of DGSC will submit the completed form to the relevant Faculty for approval at the next Faculty Meeting. The name(s) of the extern(s) and intern examiners must be approved by Faculty at this point. Faculty then informs the Student Records and Examinations Office of the approved names of extern(s) and intern(s).

Step 3. Thesis Submission – Form C

When submitting 3 spiral bound copies of the thesis, it is the students responsibility to submit the completed *PhD Submission Form C* (attached) as well as the correct registration fee (€700). It is the responsibility of the supervisor(s) to be satisfied that the thesis is ready for submission and if so to sign off on the *Submission Form C*.

Please note that each copy of the thesis must be accompanied by a summary of the contents not exceeding 300 words in length, submitted in CD/diskette format.

Step 4. Arranging the Viva

It is the responsibility of the supervisor(s) in consultation with the chairperson of the DGSC to arrange the date and location of the Viva. The Viva should be arranged at least two weeks prior to the Interfaculty Graduate Studies Board meeting at which approval of the examiners' report would be sought.

Step 5. Examiners Report on the Viva – Form D

Each examiner shall prepare a written report on the thesis. Where the examiners are in agreement, the Extern shall submit a joint report to the Student Records and Examinations Office for consideration by the Interfaculty Graduate Studies Board. It is the responsibility of the Extern to ensure that the Examiners' Report *Form D* is completed immediately after the Viva while all examiners are still present. The report must be typed prior to the signatures by all examiners.

Where there is not agreement, separate reports should be submitted to the Student Records & Examinations Office for consideration by the Interfaculty Graduate Studies Board with a view to making a recommendation to Academic Council on the award of the Degree or otherwise. The Academic Council, on the recommendation of the Interfaculty Graduate Studies Board, will then appoint an additional special Extern Examiner, if necessary.

Step 6. Thesis Correction

If the Interfaculty Graduate Studies Board recommends that the PhD Degree be awarded, the candidate must re-submit a hard bound copy of the PhD Thesis, embodying any changes prescribed by the Examiners, where recommended. It is the responsibility of the supervisor(s) to ensure that corrections are completed prior to date of the Interfaculty Graduate Studies Board meeting at which the examiners' report is to be considered.

A recommendation by the Interfaculty Graduate Studies Board to Academic Board for the award of the degree shall not be made until the revised Thesis, incorporating the recommended changes, and confirmed by the Supervisor, has been lodged with the Student Records and Examinations Office.

Form B

OLLSCOIL NA hÉIREANN, CORCAIGH
NATIONAL UNIVERSITY OF IRELAND, CORK

THE PHD DEGREE

APPROVAL OF EXAMINERS
(in accordance with Regulations for the Degree of Doctor)

Surname: _____

First Names: _____

Student Number:

--	--	--	--	--	--	--	--

Faculty: _____

Other Degrees: _____

Title of Thesis: _____

UCC PhD Record

Academic Year	Indicate whether 1 st , 2 nd , 3 rd year etc. of PhD	Indicate whether Full-Time / Part-Time

Please note: Candidates are allowed six years in which to complete the Degree from the Date of acceptance. Any candidate who wishes to submit after more than six years must seek Faculty approval for an extension of this time.

This section should be completed for students who wish to submit within six years of their initial approval

EXAMINER DETAILS (Only complete if a Special Extern)

Extern Examiner Name: _____

Address: _____

Phone: _____

Fax: _____

E-mail: _____

Is the Extern Examiner working in, or closely associated with a Third Level Institution? *(please tick)*

Yes No

If not, please comment on the suitability of the proposed Extern Examiner e.g. their familiarity with examining standards for the PhD degree and also their experience relevant to this role:

Note: If a thesis is being presented by a full-time member of the University staff, one of the Intern Examiners shall be replaced by a second Extern Examiner

*Second Extern Examiner Name: _____

Address: _____

Phone: _____ Fax: _____ E-mail: _____

**Only to be completed in the case of full-time members of the University staff.*

Intern Examiner Name: _____

Address: _____

Supervisor(s) Name: _____

Supervisor(s) Address: _____

Signed: _____
(Supervisor)

(Head of Department)

Date: _____

Department: _____

A change in Supervisor must be approved by Academic Board

Has there been a change of Supervisor? _____

Please confirm that, if there has been a change of Supervisor, it has been approved by Academic Board

If it has not been approved, please arrange for approval.

Signed: _____ Department: _____
(Head of Department)

Date: _____

The thesis must include a summary of the content, not exceeding 300 words in length, submitted in CD/diskette format

This section of the form is to be completed by the PhD Candidate

Date: _____

Print Name: _____

Student Number: _____