

Policy for Research Degree Examination

Policy owner	Graduate Studies/Assessment, UCD Registry	Approval date and body	Academic Council 27th April 2023
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1. Purpose

The purpose of the policy is to clearly identify the responsibilities of each party within the University with respect to the preparation, submission, processing, examination, and dissemination of graduate research degree theses.

Version 1.41

2. Definitions

Regulations for Research Degrees¹: are the regulations by which all academic research Programmes of the University are governed, the purpose of which is to assure and enhance the quality of education and training arising from research degrees, and to create a framework that guides and supports the student and their supervisor(s). This policy should be read in conjunction with them.

Academic Council Committee on Examinations (ACCE): acts, on behalf of the University, as an Examination Board for all doctoral and research degrees (PhDs, Professional Doctorates, Research Master's and MDs) and to award, on behalf of the University, all research degrees.

Graduate Research Board: All Programmes in the University are overseen by a Governing Board, which is responsible for monitoring the overall performance and progression of students registered to its Programmes and to ensure their welfare. Governing Boards are established by the Academic Council. The Governing Board for Research Degree Programmes is the Graduate Research Board (GRB).

Research Studies Panel (RSP): The RSP comprises the Principal Supervisor/Co-supervisor and at least two advisors. The purpose of the RSP is to provide advice, monitor the progress of the student, and support the supervisor(s)-student relationship.

Thesis: A thesis is the final document, containing the context, nature, methodology and the outcomes of the research, that is submitted by a student to the University for examination in support of their candidature for a doctoral, master's or MD degree. A thesis is a factual, logical, and possibly sequential record of the research work on a specific problem, carried out over an extended period of time. It clearly specifies the research problem and the work carried out to reach a solution and the results obtained. A research master's thesis must

¹ Sections 7, 8 and 9 of UCD Academic Regulations <u>https://hub.ucd.ie/usis/!W_HU_MENU.P_PUBLISH?p_tag=GD-DOCLAND&ID=123</u>

demonstrate the attainment of skills and competencies in research. Doctoral theses must contain material of a publishable standard according to international best practice and norms within the candidate's field of study.

eThesis Examination System: The eThesis examination system is a secure electronic University system through which students are required to submit their thesis for examination. The system facilitates compliance with university regulations, electronic submission, verification of authorship, and circulation of theses to the relevant Examination Committee. It also captures the final examination report, which contains the outcome and recommendation in relation to the thesis examination. All reports are passed on to the Academic Council Committee on Examinations, who in their capacity as the Examination Board and award of research degrees for the University, determine the outcome of the examination and whether a research degree can be awarded.

Viva Voce: is an oral examination conducted in private, where the graduate research student defends their research before a panel of examiners (Examination Committee). The *Viva Voce* is used as a key component in the examination of research activity.

Extern Examiner: An Extern Examiner is specifically appointed from outside the University for a given research degree student as opposed to a Subject Extern Examiner appointed by the University to exercise oversight of a subject or subject area in UCD at undergraduate and graduate level.

Intern Examiner: An Intern Examiner is specifically appointed, from the faculty of the University, to examine a given research degree student

Extension of Graduate Research Registration: A student can seek permission to continue in their Programme beyond their prescribed period of registration where they have not submitted their thesis by their submission deadline and have not had extenuating personal, medical or academic circumstances.

Extenuating Circumstances: the occurrence of unforeseen events which have prevented a student from studying/completing assessments/modules resulting in assessment deadlines being missed or performance in relevant assessments being adversely affected. Detailed information can be found in the University's <u>Extenuating Circumstances policy</u>.

Leave of Absence (LOA): An approved, extended period of time, away from the Programme of study. This is requested by the student and approved by the relevant Governing Board. Detailed information can be found in the University's <u>Leave of Absence Policy</u>.

Research Repository UCD (RRU): Managed by UCD Library, the RRU is a digital collection of open access scholarly publications from UCD. Following the award of the degree, the thesis will be hosted on theRRU. Candidates wishing to delay release of their thesis onto the repository have an option of placing an embargo on their research.

Thesis Embargo: A thesis embargo will delay the release of a thesis for a specific period of time to the RRU. Once embargoed, only the title and abstract details of a thesis will appear in the RRU. The full text of the thesis will only become available when the embargo period expires. The maximum embargo period currently permitted by the University is five years.

3. Scope

This policy applies to the final examination of graduate research degrees, regardless of the date of commencement of the student in their Programme of study. Further details regarding the specific examination requirements for the Research Master's Degree, Degree of Doctor of Medicine (MD), Degree of Doctor of Philosophy (PhD), and Professional Doctorate Degrees are included in the relevant sections.

The processes involved in the preparation, submission and examination of Minor Theses associated with taught master's Programmes can be found in the <u>Policy on Theses in Graduate Taught Programmes</u>.

4. Principles

The key principles that underpin the Research Degree Examination are:

- **4.1. Integrity:** It is expected that a candidate's thesis, including the main results and conclusions of their research, has, in all aspects, been conducted to the highest standards of rigour and integrity, and that their research has been conducted according to appropriate ethical, legal and professional obligations and standards. Any collaborative work is to be clearly acknowledged.
- **4.2. Supervision:** The thesis describes research that is carried out by a registered student of UCD under supervision of a UCD faculty member.
- **4.3. Standard of Quality:** The University expects the highest level of standards from its research students. Doctoral research is expected to make a substantial and original contribution to knowledge and understanding.
- **4.4. Support:** The University is a supporting research environment that is underpinned by a culture of integrity and based on good governance, best practice, and support for the development of researchers.
- **4.5. Academic Expertise:** The University will endeavour to ensure that any Examination Committee appointed to examine will have the necessary academic expertise and international standing to evaluate the research presented in the thesis.
- **4.6. Independent evaluation:** The University will endeavour to ensure that any Examination Committee appointed will provide an objective assessment of the work from a position of independence from the student and the Principal Supervisor.
- **4.7.** *Viva Voce* Examination: Candidates for PhD and Professional doctorate must be examined via a viva voce examination. The viva voce examination will normally be carried out with the candidate and all members of the examination committee present in the same room. In certain circumstances, and only with the approval of the Graduate Research Board, hybrid arrangements can be put in place.
- 4.8. Equality, Diversity, and Inclusion:
 - **4.8.1.** Selection of any appointed Examination Committee will, in so far as is possible, take into account the University's strategic commitment to Equality, Diversity and Inclusion. UCD provides a positive working, research and learning environment which is open to all regardless of age, disability, gender, marriage or civil partnership, race (including ethnic or national origin, nationality or colour), religion or belief, sexual orientation, family status, membership of the travelling community, or socio-economic status.
 - **4.8.2.** The University Supports students with disabilities by providing reasonable accommodations for the examination².

² All students with a disability or significant ongoing illness in UCD have the opportunity to receive relevant reasonable accommodations and supports for examinations, including viva voce examinations. To implement reasonable accommodations, students must provide documentary evidence of a disability and attend a short Needs Assessment with UCD Access & Lifelong Learning. Further information is available on the Access & Lifelong Learning website https://www.ucd.ie/all/.

5. **Procedures**

Please refer to University Guidelines for Preparation, Submission, Examination & Dissemination of Research Degree Theses³, which outline step by step procedures for the preparation, submission, examination, and dissemination of Research Degree Theses.

6. Roles and Responsibilities

The roles and responsibilities of the key parties involved in the preparation, submission, examination and dissemination of Research Degrees Theses – the candidate, the Principal Supervisor, the Head of School, the School, the Graduate Research Board, the Chair of the Examination Committee, the Extern Examiner(s), the Intern Examiner(s), UCD Registry, the Academic Council Committee on Examinations (ACCE), the Conferring Unit and the Library – are defined as follows:

6.1 **Responsibilities of the Candidate**

In order to submit a thesis for examination the candidate shall:

- Be fully cognisant of all relevant University regulations, policies, codes of practice and ethical requirements that relate to their graduate research Programme of study and their graduate research degree thesis.
- Be a registered student of the University and fees compliant at the time of submission.
- Have satisfied the requirements of the degree Programme to which they are registered, prior to submission of their thesis. For PhD candidates, a required minimum of 30 taught credits should have been awarded, or approved through recognition of prior/concurrent learning.
- Have satisfactorily completed research integrity training (*applicable to graduate research students admitted after 31 August 2019*).
- Have met and worked productively with their Principal Supervisor and members of their Research Studies Panel in the conduct of their research.
- Be familiar with the requirements related to the University's thesis submission procedures.
- Ensure the Principal Supervisor's approval has been sought to submit the thesis.
- Be aware of the thesis submission deadline and the fee implications of not being able to meet the deadline, and the options available to them where they are not able to meet the submission deadline. Where Extenuating Circumstances occur, the Principal Supervisor and Graduate Research Board should be informed/consulted as soon as possible.
- Where a thesis embargo is required, have been granted approval by the Graduate Research Board in advance of thesis submission.

Subsequent to the outcome of the examination shall:

- carry out revisions as directed by the Examination Committee.
- Submit, a final hard-bound archival copy of the thesis to the Student Desk, UCD Registry for deposition to a closed store in the Library a minimum of 4 weeks prior to their conferral date.

6.2 Responsibilities of the Principal Supervisor

³ Guidelines Document here:

https://www.ucd.ie/graduatestudies/t4media/Research%20Degree%20Examination%20Guidelines%20%20August%20%2 02023.pdf

In order to facilitate a candidate's submission of a graduate research degree thesis for examination, the Principal Supervisor shall:

- Have primary responsibility for the academic supervision of the research degree student and provide appropriate intellectual and pedagogical advice and support to them, so that they can reach a point where the student can submit their thesis with the Supervisor's approval.
- Guide the candidate to conduct their research with integrity and in accordance with the regulations, policies and guidelines of the University and applicable legislation.
- Make the candidate aware of all relevant Programme requirements, University regulations, policies and codes of practice that relate to their graduate research Programme of study and their particular graduate research degree thesis.
- Liaise, as necessary, with the members of the Research Studies Panel in the course of preparing the candidate for submission of their graduate research degree thesis.
- Make suitable arrangements to examine theses presented in alternative formats, as required.
- Be aware of the thesis submission deadline, the fee implications for a candidate of not being able to meet the deadline, and the options available to them where they are not able to meet the submission deadline.
- Request the Head of School to nominate examiners for approval to the Graduate Research Board, and subsequently to the ACCE, at least three months prior to expected thesis submission by the candidate.
- Provide information on thesis embargos and associated processes to candidates wishing to delay release of their thesis to the RRU.
- When satisfied that the candidate's thesis is of a sufficient standard for submission and that all compliance issues have been addressed, enable the candidate to upload their thesis to the eThesis examination system, and, following upload, provide approval for the submission of the thesis for examination.

6.3 Responsibilities of the Head of School

In order to facilitate a candidate's submission of a graduate research degree thesis for examination, the Head of School shall:

- Oversee processes and procedures that will ensure that the Principal Supervisor and candidate are aware of all Programme requirements, relevant regulations, policies and codes of practice that relate to the graduate research Programme of study.
- Act as the point of escalation, for candidates, where, in their opinion, thesis submission has been unreasonably withheld by their supervisor.
- Where appropriate, make School-wide recommendations regarding the length and format of graduate research degree theses.
- Propose thesis embargo requests to the Graduate Research Board on behalf of candidates.
- Propose the appointment of the relevant Extern Examiner(s) supported by summary CV information to the Graduate Research Board upon whose recommendation the appointment may be made by the Academic Council Committee on Examinations.
- Propose the appointment of the relevant Intern Examiner(s) and Chair to the Graduate Research Board, upon whose recommendation the appointment may be made by the Academic Council Committee on Examinations.
- Ensure that Extern and Intern Examiner appointments are made at least three months prior to the expected thesis submission by the candidate.
- Act, for all Doctoral degrees, as the Chair of the Examination Committee or designate a nominee to carry out this responsibility.

- In carrying out the aforementioned responsibilities, the Head of School shall consult, where appropriate, with the relevant Head of Subject.
- Escalate any conflict of interest in accordance with the University's Conflict of Interest Policy.

6.4 Responsibilities of the School

- Submit nominations for Extern Examiner(s)(supported by summary CV information) Intern Examiner(s) and Chair to the Graduate Research Board at least three months prior to the expected thesis submission by the candidate.
- In the case of an ACCE decision to not award the degree to a candidate, ensure the candidate is made fully aware of their next steps and where appropriate, ensure that the registration of the student is updated.
- Submit thesis embargo requests to the Graduate Research Board on behalf of candidates.

6.5 Responsibilities of the Graduate Research Board

In order to facilitate a candidate's submission of a graduate research degree thesis for examination, the Graduate Research Board shall:

- Ensure that all relevant Programme requirements, University regulations, policies and guidelines that relate to the graduate research Programme of study and a particular graduate research degree examination are conveyed to candidates, supervisors and Heads of Schools.
- Ensure research candidates are compliant with all Programme requirements in advance of thesis submission. These may include: completion/award of required taught components, assessment of professional practice (where required), successful completion of Stage Transfer requirements (PhD and Professional doctorate students), completion of research integrity training and any, where appropriate, other requirements as determined by the Graduate Research Board.
- Ensure a process for requesting a thesis embargo is available to candidates who may require it. Make a determination on embargo requests by candidates and ensure the embargo period is accurately recorded on the university's student record system. This must be done to allow thesis submission by the candidate.
- Adjudicate on applications for hybrid viva voce examination arrangements.
- Recommend the appointment of the relevant Extern Examiner(s) (supported by summary CV information), received from Heads of Schools, to the Academic Council Committee on Examinations.
- Recommend the appointment of the relevant Intern Examiner(s) and Chair, received from Heads of Schools, to the Academic Council Committee on Examinations.
- Ensure that the relevant policies and procedures clearly articulate the requirement that the Extern Examiner, Intern Examiner and Chair appointments are made at least three months prior to thesis submission by the candidate.

6.6 Responsibilities of the Chair of the Examination Committee

Upon submission of the thesis for examination, the Chair of the Examination Committee shall:

• Oversee the examination process of the thesis, from start to finish, and ensure that all steps of the examination are conducted in accordance with the University's regulations and guidelines. Where relevant, ensure the Examiner's pre-viva reports are exchanged amongst all members of the Examination Committee, via the eThesis examination system.

- Convene and conduct, where applicable, the *viva voce* examination in line with all relevant Programme requirements, University regulations, policies and guidelines, normally within two months of the submission of the thesis.
- In the case of conducting a virtual/hybrid viva voce format, ensure Graduate Research Board has approved the arrangement and measures are taken so that appropriate conditions are in place to minimise disruption, and ensure security and integrity of the examination.
- Notify the candidate and the Principal Supervisor of the recommendation of the Examination Committee being made to the Academic Council Committee on Examinations.
- Ascertain, where relevant, that all required revisions have been made to the thesis. This task may be delegated to another member of the Examination Committee, normally the Intern Examiner. Submit confirmation to the Academic Council Committee on Examinations that any such revisions have been made.
- Oversee the compilation of a high-level joint Final Degree Report (on behalf of all Examiners) containing an assessment of the academic standards of the thesis, the Examination Committee's recommendation relating to degree award, and, if relevant, the candidate's performance in the examination (this task may be delegated to another member of the Examination Committee).
- Ensure the joint Final Degree Report is submitted to the Academic Council Committee on Examinations for review via the eThesis system.
- Where the Examiners disagree and cannot unanimously recommend that the degree be awarded, ensure a separate report is submitted from each Examiner to the Academic Council Committee on Examinations for review and adjudication.
- Ensure a copy of the Examiners' Final Degree Report(s) is made available to the candidate following the authorisation or otherwise of the degree award by the Academic Council Committee on Examinations.

6.7 Responsibilities of the Extern Examiner

In support of the examination process, the Extern Examiner⁴ shall:

- Comply with all University examination guidelines and procedures, and all relevant Programme requirements, University regulations, policies and codes of practice that relate to the graduate research Programme of study.
- Assume a major role in the *viva voce* examination.
- Where Examiners unanimously recommend award of the degree, liaise with the nominated Intern Examiner in compiling a high-level joint Final Degree Report on behalf of all Examiners containing an assessment of the academic standards of the thesis, the Examination Committee's recommendation relating to degree award, and, if relevant, the candidate's performance in the *viva voce* examination.
- Where the Examiners disagree and cannot unanimously recommend that the degree be awarded, submit a separate report, via the Chair of the Examination Committee, to the Academic Council Committee on Examinations for review and adjudication.
- Continue in the role of Extern Examiner, in the situation where a candidate is required to revise and submit a thesis for re-examination.

⁴ An Extern Examiner is specifically appointed for a given research degree student as opposed to a Subject Extern Examiner appointed by the University to exercise oversight of a subject or subject area in UCD at undergraduate and graduate level.

6.8 Responsibilities of the Intern Examiner

In support of the examination process, the Intern Examiner shall:

- Comply with all University examination guidelines and procedures, and all relevant Programme requirements, University regulations, policies and guidelines that relate to the graduate research Programme of study.
- On nomination by the Chair of the Examination Committee, ensure that all required revisions have been made to the thesis, and submit verification of this to the Chair of the Examination Committee, before award of the degree is authorised by the Academic Council Committee on Examinations.
- In the case of the Research Master's degree, act as the Chair of the Examination Committee.
- Where Examiners unanimously recommend award of the degree, on the nomination of the Chair of the Examination Committee, compile a high-level joint Final Degree Report on behalf of all Examiners containing an assessment of the academic standards of the thesis, the Examination Committee's recommendation relating to degree award, and, if relevant, the candidate's performance in the *viva voce* examination.
- Where the examiners disagree and cannot unanimously recommend that the degree be awarded, submit a separate report, via the Chair of the Examination Committee, to the Academic Council Committee on Examinations for review and adjudication.

6.9 Responsibilities of UCD Registry

Once a thesis has been submitted for examination, UCD Registry shall:

- Support the University's eThesis examination system and all stakeholders associated with this process.
- Record, on behalf of the Academic Council Committee on Examinations, the date of the authorisation of the award of the degree and notify the candidate and the Conferring Unit of the award of the degree. Provide the NUI with the candidate's degree information.
- Upon ACCE approval, transfer the newly awarded thesis to the RRU, via the eThesis examination system.
- Accept the final hard-bound archival copy of the thesis for deposition in closed store in the Library.
- Ensure all information contained in the University's eThesis examination system is retained in line with Registry retention schedules.

6.10 Responsibilities of the Academic Council Committee on Examinations (ACCE)

On the delegated authority of Academic Council, and with reference to examination of theses in graduate research Programmes, the ACCE has specific functions including:

- Approval of the Research Degree Examination Committee (Chair, Intern and Extern Examiner).
- Act, on behalf of the University, as an Examination Board for all graduate research degrees (Research Master's, MDs, PhDs and Professional Doctorates) to:
 - a) Award, on behalf of the University, all research degrees.
 - b) Adjudicate in cases where there is disagreement among examiners in relation to the award of a research degree.
- Inform UCD Registry on the decisions of the ACCE so that Registry can update the student record.
- Inform the relevant School on the decisions of the ACCE so that the School can manage student registration.

6.11 Responsibilities of the Conferring Unit

Upon receipt of notification from Assessment, UCD Registry, the Conferring Unit shall:

- Update the record of the candidate, including changing their status to that of graduand.
- Send the graduand information relating to the graduand conferring ceremony, as well as invitations.
- Provide the School and the Graduate Research Board with a list of graduands and information on their conferring ceremony.⁵

6.12 **Responsibilities of the Library**

Upon award of the degree, the Library shall:

- Unless previously embargoed, accept the approved thesis for upload to the University's open access repository, Research Repository UCD (RRU). Once uploaded the thesis becomes freely available to download with no access restrictions.
- Accept the final hard-bound archival copy of the thesis from Assessment for deposit in a closed store.

7 Thesis Embargo

In line with the <u>National Principles for Open Access</u>, UCD research theses are deposited in the Research Repository UCD (RRU). However, there may be certain circumstances where it is deemed appropriate that an embargo is placed. A thesis embargo will delay the release of a thesis to the RRU for a specific period of time in accordance the UCD Thesis Embargo Policy⁶.

If a candidate wishes to place an embargo on their thesis to prevent it from becoming automatically available, for example due to the sensitive or confidential nature of the data contained in the thesis or publication requirements, they must apply, via the university procedure, on submission of their thesis for examination, to the Graduate Research Board requesting approval of the embargo, outlining the rationale for why it is being requested. At present, a maximum embargo length of five years is permitted by the university.

If the embargo is approved by the Graduate Research Board, the embargo expiry date is recorded on the university's Student Information System ensuring that the embargo is automatically implemented once the thesis is transferred from the eThesis examination system to the RRU.

Once embargoed, only the title and abstract details of a thesis will appear in the university's research repository, the full text of the thesis will only become available when the embargo period expires.

8. Intellectual Property

All issues relating to intellectual property will be subject to the University Intellectual Property Policy⁷

9. Appointment of Examination Committee

The Examination Committee shall consist of a Chair, an Intern and an Extern Examiner(s). The circumstances in which the Chair of the Examination Committee is also an examiner are detailed in Table A. The specific requirements for the constitution of the Examination Committee for all graduate research degrees are outlined in the table below:

⁵ Further details regarding conferring are available at <u>www.ucd.ie/confer/</u>

⁶ Thesis Embargoes policy <u>https://hub.ucd.ie/usis/!W_HU_MENU.P_PUBLISH?p_tag=GD-DOCLAND&ID=234</u> ⁷University Intellectual Property Policy <u>https://hub.ucd.ie/usis/!W_HU_MENU.P_PUBLISH?p_tag=GD-DOCLAND&ID=157</u>

TABLE A: Appointment of the Examination Committee

	Inter n Exa mine rs	Extern Examiners	Chair of Examination Committee	Principal Supervisor and Co Supervisors	Members of the Research Studies Panel
Research Masters	1	1 minimum, second where candidate is faculty or staff member of UCD, or where the t Graduate Research Board considers it appropriate	Intern Examiner may act as the Chair	Cannot be Intern Examiner, can attend viva voce (where applicable) in a silent capacity, with the consent of Examination Committee and the candidate	A member of the candidate's Research Studies Panel may not normally be an Intern Examiner on the candidate's Examination Committee due to perceived conflict of interest, but can act as Chair where there is a separate intern examiner appointed
PhD and Professional Doctorates	1	1 minimum, second where candidate is faculty or staff member of UCD, or where the Graduate Research Board considers it appropriate	Normally Head of School (or nominee). The Chair is not an examiner.	Cannot be Intern Examiner or Chair, can attend <i>viva voce</i> in a silent capacity, with the consent of Examination Committee and the candidate	A member of the candidate's Research Studies Panel may not normally be an Intern Examiner on the candidate's Examination Committee due to perceived conflict of interest, but can act as Chair
Doctor of Medicine (MD)	1	1 minimum, second where candidate is faculty or staff member of UCD, or where the Graduate Research Board considers it appropriate	Head of the School of Medicine (or nominee). The Chair is not an examiner.	Cannot be Intern Examiner, or Chair, can attend <i>viva voce</i> (where applicable) in a silent capacity, with the consent of Examination Committee and the candidate	A member of the candidate's Research Studies Panel may not normally be an Intern Examiner on the candidate's Examination Committee due to perceived conflict of interest, but can act as Chair

The members of the Examination Committee should be appointed and approved at least three months prior to submission by the candidate of the graduate research degree thesis.

9.1 Appointment of Extern Examiner(s)

The Extern Examiner(s) shall be nominated by the Head of School and, subject to the recommendation of the Graduate Research Board and approval of the Academic Council Committee on Examinations (ACCE), they shall be recommended to and appointed by the National University of Ireland⁸. An Extern Examiner for a Doctoral, Masters or MD thesis shall be a recognised expert in the

⁸ Information on the Extern Examiner appointment process can be found here:

http://www.ucd.ie/registry/staff/registryservices/assessment/researchdegrees/externexaminers/specialexternrese archdegree/

area of research of the thesis as evidenced in the curriculum vitae (including publications) of the proposed Extern Examiner, submitted to the Graduate Research Board as part of the approval process. Conflicts of interest, actual or perceived, should be avoided. The Extern Examiner will not normally be appointed if they have had any research or professional collaboration with the candidate or the supervisor(s) within the last five years, and shall not have been a research student or postdoctoral researcher of the supervisor(s). The Extern Examiner will not be appointed if they have served as an Extern in the University in any capacity within a three-year time interval prior to the appointment.

9.2 Appointment of Intern Examiner(s)

The Intern Examiner(s) shall be proposed by the Head of School and appointed by the Academic Council Committee on Examinations on the recommendation of the Graduate Research Board. An Intern Examiner will be an active researcher in the broad area of the thesis topic or in a cognate discipline and should normally be a member of the academic staff of the University. The Intern Examiner may not notrmally be a member of the student's Research Studies Panel.

9.3 Appointment of the Chair of the Examination Committee

For the Research Master's Degree, the Intern Examiner will normally act as the Chair of the Examination Committee. For the Doctor of Philosophy Degree, Professional Doctorates and the Doctor of Medicine degree, the Head of the relevant School or their nominee, will normally act as the Chair of the Examination Committee. The Chair will be an active researcher in the broad area of the thesis topic or in a cognate subject and must be a member of the faculty of the University. Adjunct/Visiting staff may not chair the examination Committee. A member of the candidate's Research studies Panel may act as Chair of the Examination Committee.

9.4 Conflict of Interest

In accordance with the University Conflict of Interest Policy⁹ faculty members and staff should anticipate any conflict of interest or perceived conflict of interest in the examination of a research degree candidate. They should notify their Head of School In order to avoid any perceptions of bias and to protect the faculty or staff member (and the candidate) from any allegations of lack of objectivity. The Head of School should take appropriate steps to avert a situation where the individual would be required to examine the work of family, friends or associates, by appointing an alternative Intern Examiner. A member of faculty or staff should not be involved in any discussion with Intern or Extern Examiner(s).

All Intern Examiners in the School should be careful to exercise objectivity towards any candidate who is related to or associated with a colleague. Care should also be taken by the Head of School with respect to the appointment of Extern Examiners to ensure that no possible conflict of interest may arise.

All matters relating to the management of the potential for conflict of interest relating to the examination of graduate research degrees shall be subject to review by the Graduate Research Board and ACCE.

⁹University Conflict of Interest Policy: <u>https://hub.ucd.ie/usis/!W_HU_MENU.P_PUBLISH?p_tag=GD-DOCLAND&ID=85</u>

10. Submission of the Graduate Research Degree Thesis

Prerequisites for the submission of a thesis for examination:

- The candidate must be a fully registered student, fee compliant and registered for the minimum period required by the Programme at the time when the thesis is submitted for examination.
- The thesis must reflect the work of the candidate and where there is collaboration the contribution of each contributor is clearly indicated in line with the UCD Plagiarism Policy.
- The thesis will only be accepted by the University when the candidate has met all Programme-specific requirements as set out by the Graduate Research Board including, in the case of PhD candidates, a required minimum of 30 taught credits that have been awarded, or approved through recognition of prior/concurrent learning.
- For those candidates who wish to restrict access to their research on RRU for a period of time, the candidate has applied for, and secured the approval of the Graduate Research Board for such a thesis embargo.

Information regarding the deadlines for submission of graduate research degree theses (and the associated fees) is available on the Fees section¹⁰ and the Student Information section¹¹ of the Registry website.

The Graduate Research Board is responsible for undertaking a compliance check for each candidate, which confirms that the candidate has satisfied the requirements of their Programme, including any taught modules as well as research activity. Candidates are required to submit their thesis through the University's eThesis examination system, confirming that the research is their own work, and that they have not obtained a degree in this University or elsewhere on the basis of the research presented in the thesis. The Principal Supervisor must also confirm, through the eThesis examination system, that the research has been carried out and the final draft of the thesis as submitted, has been prepared for examination under their guidance.

Provided they are registered and fee compliant at the time of thesis submission, a candidate will continue to be a registered as a student (with the status 'Assessment Only') until such time as the examination has been completed and the recommendation of the Examination Committee has been considered by the Academic Council Committee on Examinations, and the Academic Council Committee on Examinations has authorised or not authorised the award of the degree.

Once an eligible candidate has submitted their thesis for examination, the examination must proceed in accordance with Academic Regulations until such time as a final decision of the Academic Council Committee on Examinations has been made. During this period the candidate shall not be liable for tuition fees, but their student card will remain valid and they will have access to University facilities in order to prepare for the *viva voce* examination and to complete papers for publication, normally until the end of the trimester.

With respect to the examination of Research Masters and Doctor of Medicine theses, where a *viva voce* examination is required only on the request of the Head of School (or the MD Committee), or at

¹⁰ Fees information can be found here: <u>https://www.ucd.ie/students/fees/</u>

¹¹Submission dates can be found here: <u>https://www.ucd.ie/students/keydates/</u>

the behest of the examiners, a candidate will continue to be a registered student until such time as a final decision of the Academic Council Committee on Examinations has been made.

11. Examination of the Graduate Research Degree Thesis

The University shall establish an Examination Committee to assess the candidate on the basis of the thesis submitted and to make a recommendation on the award (or otherwise) of the degree. All matters relating to the examination of graduate research degree theses must be treated as confidential. Examiners are not permitted to divulge the content of previously unpublished material contained in a candidate's thesis until such time as the thesis has been deposited in the University's open access repository, Research Repository UCD (RRU) and has been made publicly available.

All examiners are required to comply with the procedures for examination of theses outlined in this section.

11.1 Research Master's Thesis Examination

Master's (MLitt, MPhil, MA, MSc, etc) Title Class of Award Major Purpose The core of the Research Master's degree award is a coherent Programme of supervised research which requires that the student successfully completes Masters-level research, the principal outcome of which is a submitted thesis in acceptable form and deemed to be of a satisfactory standard. The primary purpose of master's level research is to develop in the student the skills and competencies required to conduct research. The Research Master's degree Programme may also include additional personal and professional development elements which develop the skills and competencies required for successful research and/or support the acquisition of generic or transferable skills. This may be provided via specific modules from the advanced educational Programme of the University. **NFQ Level** q Volume Large Knowledge Have demonstrated specialized, detailed or advanced theoretical and conceptual knowledge and understanding, which is based on consideration of current debate and controversy at the forefront Understand of the field and that provides a basis or opportunity for originality in developing and/or applying ing ideas, often within a research context. Applying Can apply their knowledge, understanding, and problem-solving abilities in new or unfamiliar Knowledge & environments within broader (or multidisciplinary) contexts, or to generate new knowledge Understanding through research. Making Have the ability to integrate knowledge and handle complexity, and formulate judgements with Judgements incomplete or limited information, and to reflect on wider disciplinary, scientific, professional issues and social and ethical responsibilities linked to the application of their knowledge and judgments. Communication Can communicate their conclusions, and the knowledge and rationale underpinning s & Working these, to specialist and non-specialist audiences clearly and unambiguously. Skills Learning Skills Have the learning skills to allow them to continue to study in a manner that may be largely self-directed or autonomous.

Table B: UCD Research Master's Degree Award Descriptor

Source: UCD Level Descriptors

On the request of a Head of School, or at the behest of the examiners, a *viva voce* examination may be arranged. The viva voce examination will normally be held within two months of receipt of the thesis by the examiners. In such instances, the conduct of the *viva voce* examination will be held in accordance with the arrangements outlined in section 11.3.2.

When conducting an examination of the candidate, examiners are encouraged to be cognizant of the learning outcomes associated with the Research Master's degree award (NFQ Level 9).

11.2 Doctor of Medicine (MD) Thesis Examination

On the request of the Head of School, or at the behest of the examiners, a *viva voce* examination may be arranged. The viva voce examination will normally be held within two months of receipt of the thesis by the examiners. In such instances, the conduct of the *viva voce* examination will be held in accordance with the arrangements outlined in section 11.3.2.

When examining an MD thesis, examiners are encouraged to be cognizant of the learning outcomes associated with NFQ Level 9 degree awards as outlined in Table B.

11.3 PhD and Professional Doctorates Thesis Examination

It is the policy of the University that every PhD and Professional Doctorate candidate must be examined through a *viva voce* examination by an Examination Committee. The *viva voce* examination will normally be held within two months of receipt of the thesis by the examiners.

Upon submission, the thesis will be sent, via the eThesis examination system, to all members of the Examination Committee, provided that the Examination Committee has been appointed by the ACCE. Through the eThesis examination system, the Chair of the Examination Committee will ensure that preliminary reports from each examiner are exchanged amongst members of the Examination Committee in advance of the *viva voce* examination.

11.3.1 Examiners' Preliminary Thesis Reports

When reading the thesis, examiners should give particular attention to the following points:

- The originality of the work described, and the theories developed in the thesis.
- The candidate's familiarity with the published work of other authors in their own and related areas.
- The candidate's ability to summarise the work of other authors and to synthesise a theoretical framework within which to position the work described in the thesis.
- The candidate's prose style, which should be appropriate to the discipline, consist of clear, simple, unambiguous writing, and be syntactically and grammatically correct.
- The methodology adopted by the candidate to address the research topic is it accurately and comprehensively described? Is it appropriate to the topic? Is the candidate aware of alternative methodologies which might have been employed? Is the candidate sensitive to any inherent weaknesses in the methodology? Where a novel method has been developed, has it been tested and calibrated appropriately?
- Experimental design (where appropriate).
- Presentation of the results of the research are the results presented in a clear, accessible way? Are tables, figures or plates, where included, adequately annotated and correctly referenced in the text?
- Interpretation of results are the candidate's conclusions reasonable based on the evidence presented? Has the significance of the results been fully appreciated by the candidate? Has

the correct statistical analysis been employed (where appropriate) and justifiable conclusions arrived at? Have theories formulated on the basis of the results taken into account relevant findings published by other authors? Has the candidate identified any weaknesses or lacunae in the evidence adduced?

- The bibliography is it comprehensive and up to date? Are references to the published literature annotated accurately and consistently in a recognised citation style?
- Presentation of the thesis is it free of typographical and other errors?
- For professional doctorate degree Programmes, the Examination Committee shall also take into consideration the student's performance in any taught modules and/or applied professional practice elements of the professional doctorate Programme.

11.3.2 Conduct of the Viva Voce Examination

The objectives of the viva voce examination are to provide an opportunity for the examiners to:

- establish the originality of the candidate's work and ideas.
- test the candidate's knowledge of the thesis topic and related areas of research.
- clarify any issues of fact which may have arisen in the course of the preliminary reading of the thesis.

The viva voce examination also provides an opportunity for the candidate to elaborate on aspects of the research which may not have been included in the thesis and to defend the arguments presented and the ideas developed in the thesis.

The thesis examination (viva voce) is carried out in private with only the candidate and the Examination Committee in attendance. The Principal Supervisor or Co-Supervisor(s) may be invited to attend the viva voce examination as an observer(s) with the consent of the Examination Committee and the candidate. .All matters relating to the examination must be treated as confidential by the Examination Committee.

The Chair of the Examination Committee shall make the arrangements for the viva voce examination. Viva voce examinations should normally be held on a UCD campus in Dublin. In certain circumstances, and only with the approval of the Graduate Research Board, hybrid arrangements can be put in place provided the candidate and all members of the Examination Committee agree to the arrangement and appropriate conditions are maintained. University guidelines in relation to conducting the viva voce virtually should be followed in this regard.¹² Care should be taken in choosing the location for the viva voce examination to ensure that the examination can be conducted in a relaxed and comfortable atmosphere without risk of interruptions or extraneous noise. Examiners and the candidate should be reminded to switch off phones before the commencement of the examination.

The Extern Examiner(s) shall play the major role in the viva voce examination. The Extern Examiner(s) should lead the discussion with the candidate and explore the strengths and weaknesses of the research work and the thesis. The Extern Examiner(s) should also test the candidate's knowledge of the field and familiarity with recent publications in the area.

When conducting an examination of the candidate, examiners are encouraged to be cognizant of the specific learning outcomes associated with the Programme (NFQ Level 10). The UCD Doctoral Award Descriptor is based on existing guidelines such as the NFQ Level 10 Indicators, the NFQ Level 10 "Dublin Descriptors" and the IUA PhD Graduate Skills Statement. In addition, the QQI QA Guidelines for Research Degrees¹³ and Ireland's Framework of Good Practice for Research Degree Programmes.14

¹²Guidelines: <u>https://www.ucd.ie/graduatestudies/t4media/Research%20Degree%20Examination%20Guidelines%20%20August%20%202023.pdf</u>

¹³ QQI Statutory Guidelines

https://www.qqi.ie/sites/default/files/2021-11/qg-6-topic-specific-qa-guidelines-for-research-degree-Programmes.pdf ¹⁴ <u>https://www.qqi.ie/sites/default/files/media/file-</u> uploads/Ireland%E2%80%99s%20Framework%20of%20Good%20Practice%20Research%20Degree%20Programmes.pdf

Table C: UCD Doctoral Degree Award Descriptor

Title	Doctor (PhD, DPsychSc, DGov, DVMS, DEdPsych)
Class of Award	Major
Purpose	This award is characterised by a significant original contribution to scholarship, based largely on a major research project which is also complemented by the development of a range of transferable and professional skills. It may be used for career progression to advanced levels of academia and research.
Level	10
Volume	Large
Knowledge – breadth	A coherent understanding of the problems at the forefront of knowledge and potential approaches and solutions, as well as in-depth knowledge of the relevant scholarship in a particular field or discipline.
Knowledge – kind	A contribution through original research which extends the frontiers of knowledge by developing a substantial body of work, some of which merits national or international refereed publication.
Know-how and skill – range	 The capacity to recognise and evaluate problems. Original autonomous thinking. Capacity for critical analysis, reflection and evaluation. Understanding and application of basic principles of project and time management, presentation skills and working in a collaborative capacity.
Know-how and skill – selectivity	 Critical analysis, evaluation and synthesis of new and complex ideas. Formulation and application of solutions to research problems and effective interpretation of results. Ability to promote, within academic and professional contexts, technological, social or cultural advancement in a knowledge-based society.
Competence – context	 Make a significant contribution to the application of knowledge and skill, including in novel contexts. Exercise personal responsibility and largely autonomous initiative in complex and unpredictable situations, in professional or equivalent contexts.
Competence – role	 Communicate results of research and innovation to peers. Engage in critical dialogue both within academia and in other relevant contexts; Lead and originate complex social processes.
Competence – learning to learn	 The ability to reflect on the process of learning and achievement and a capacity to plan for personal, educational and career development. Learn to critique the broader implications of applying knowledge to particular contexts.
Competence – insight	Critical awareness of the global intellectual, social and cultural implications of developments in their own and other's area of research and expertise.
Progression & Transfer	None
Articulation	The Degree of Doctor of Philosophy (PhD) is awarded following successful completion of a Programme of supervised research and advanced education and training. This Programme may include articulation with a taught or research Masters (NFQ Level 9) Programme, where there are in existence formal processes to assess the progress of a candidate and their suitability for advanced doctoral research and training.

Source: UCD Level Descriptors, NFQ Level 10 Indicators, the NFQ Level 10 "Dublin Descriptors" and the IUA PhD Graduate Skills Statement

12 Post-Examination of Graduate Research Degree Thesis

When the examination is complete, and if all examiners are in agreement, the Chair is responsible for overseeing the compilation of a high-level joint Final Degree Report, on behalf of all examiners, on the academic standard of the thesis and the candidate's performance in the examination (where relevant). The Chair may delegate this function to another member of the Examination Committee. The final report should contain a high-level summary of the examination. The report should not normally contain details of revisions that may be required of the candidate. In writing their final report, the examiners should bear in mind that the report will be considered by the Academic Council Committee on Examinations (ACCE), and that not all of its members will be experts in the subject matter of the thesis.

The report should include the following:

- Clear justification outlining why the Examination Committee's recommendation was reached.
- A brief description, in non-technical terms, of the work presented in the thesis and an outline of its principal conclusions.
- A brief assessment of the candidate's knowledge and comprehension of the background to the research topic and the work of other authors in related fields.
- The examiners should comment broadly on the strengths and weaknesses of the research and of the theoretical framework developed by the candidate in the thesis and at the viva voce examination (where relevant).
- The examiners should also indicate whether the thesis is worthy of publication, in whole or in part.
- The quality of the presentation of the thesis should be referred to in the report.
- For Professional Doctorates, the report should provide confirmation that the candidate has satisfactorily completed the required taught components and the professional practice elements of the Programme.

It is important that there should be consistency between the opinions expressed in the report and the examiners' recommendation in relation to the award of the degree. For example, if several negative comments are included in a report which recommends the award of the degree, the examiners should take care to indicate the strengths of the work which outweigh its weaknesses and which persuaded them to recommend that the degree be awarded.

The Degree Report which shall be submitted by the Chair of the Examination Committee to the ACCE via the eThesis system, shall include a recommendation to:

- a) Award the [Research Masters / MD / Doctoral] degree no revisions required
- b) Award the [Research Masters / MD / Doctoral] degree revisions required¹⁵
- c) Revise thesis and submit for re-examination¹⁶
- d) Do not award the [Research Masters / MD / Doctoral] degree recommendation that the candidate transfer to an appropriate graduate Programme
- e) Do not award the [Research Masters / MD / Doctoral] degree.

¹⁵ This is used where changes are required to the thesis, but where the examiners do not consider a new examination necessary. Typically, revisions are carried out within 3 months.

¹⁶ This is used where the examiners feel that the scope and nature of the changes are such that the candidate's work should go through a full examination process again

The Chair of the Examination Committee shall inform the candidate and the Principal Supervisor of the recommendation of the Examination Committee. This recommendation is subject to the approval of the ACCE. The ACCE can accept the recommendation of the Examination Committee or can ask the Examination Committee to reconsider its decision. A candidate is entitled to a copy of the examiners' degree report(s) following the authorisation or otherwise of the award of the degree by the Academic Council Committee on Examination.

12.1 Post Examination: Unanimous Recommendation to Award Degree

Where the examiners unanimously recommend award of the graduate research degree, the Examination Committee shall submit the joint Final Degree Report, via the Chair of the Examination Committee, to the ACCE indicating their opinion on the quality of the thesis and of the research on which it is based, and recommending the award of the degree.

Where, in the opinion of the examiners, revisions are required, the Chair of the Examination Committee (or nominee – normally an Intern Examiner) shall be responsible for ensuring that any revisions have been made to the thesis prior to the award of the degree being authorised by the ACCE. The Chair of the Examination Committee shall inform the candidate and the Principal Supervisor that they have recommended the award of the degree subject to any revisions being made (where required) and to the approval of the ACCE.

12.2 Post Examination: Unanimous Recommendation not to Award Degree

Where the examiners unanimously recommend that the graduate research degree not be awarded, the Examination Committee shall submit a high-level joint Final Degree Report, via the Chair of the Examination Committee, to the ACCE indicating their opinion on the quality of the thesis and of the research on which it is based, and indicating the areas of weakness which led to their decision not to recommend the award of the degree.

The Chair of the Examination Committee shall inform the candidate and the Principal Supervisor that the award is not recommended.

The Chair of the Examination Committee shall notify the ACCE that the Examination Committee has not recommended the award of the degree and the ACCE shall inform the candidate of the decision of the Examination Committee.

12.2.1 Where the decision is 'revise and resubmit' the ACCE will liaise with UCD Registry to update the student record. The School will manage the subsequent student registration and advise the student of the next steps to be undertaken.

12.2.2 Where the decision is 'transfer to another Programme' ACCE will liaise with UCD Registry and the relevant School to manage the change in registration to another Programme. The candidate must apply to the alternative Programme, meet the requirements of the Programme (including fees) and be examined.

12.2.3 Where the decision is 'do not award the degree' ACCE will liaise with UCD Registry and the relevant School to advise them of this.

A candidate may appeal the decision of the Academic Council Committee on Examinations to the Academic Council Committee on Student Appeals and Complaints.

12.3 Post Examination: No Unanimous Recommendation

Where the examiners disagree and cannot unanimously recommend that the degree be awarded, members of the Examination Committee shall submit, via the Chair of the Examination Committee, separate reports to the ACCE. The Chair of the Examination Committee shall inform the candidate and the Principal Supervisor that the Examination Committee has not reached an unanimous decision on the award of the degree and that the matter has been referred to the ACCE for adjudication. The ACCE may decide to:

- a) Award the [Research Masters / MD / Doctoral] degree no revisions required
- b) Award the [Research Masters / MD / Doctoral] degree revisions required
- c) Revise thesis and submit for re-examination
- d) Do not award the [Research Masters / MD / Doctoral] degree recommendation that the candidate transfer to an appropriate graduate Programme
- e) Do not award the [Research Masters / MD/ Doctoral] degree.

A candidate may appeal the decision of the ACCE to the Academic Council Committee on Student Appeals and Complaints¹⁷

13. Thesis Revisions

Where revisions are required by the examiners (award category b), the Chair of the Examination Committee (or nominee – normally the Intern Examiner) shall communicate the details of the required revisions to the candidate. Revisions are typically completed within 3 months. Candidates shall remain a registered student during the period in which revisions must be made.

Upon completion of the revisions, the nominated examiner will be required to review them offline and confirm, on behalf of the Examination Committee, that the candidate has satisfactorily completed all revisions required. The candidate is then required to upload the final version of the thesis to the eThesis examination system for final sign off by the Examination Committee. Theses with highlighted revisions should not be transferred to the RRU. Once the student uploads the thesis, they cannot exchange it, however, the Chair can reject any versions uploaded in error. The Examination Committee must then sign off on the fact that the candidate has met all the examination requirements and the examination outcome is sent to the Academic Council Committee on Examinations for review and approval.

Where the candidate is required to revise and submit the thesis for re-examination (award category c), the Chair of the Examination Committee shall, with the agreement of the other members of the Examination Committee, indicate the timeline within which such major revisions shall be undertaken and the student must register as normal. Upon submission of the thesis for re-examination, the Examination Committee shall be re-convened by the Chair of the Examination Committee to conduct a second viva voce examination in accordance with the procedures outlined in the University's Academic Regulations.

¹⁷ UCD Student Engagement, Conduct, Complaints and Appeals office

14. Submission of Final Thesis to Research Repository UCD (RRU) and required archival hardbound copy

Following each meeting of the ACCE, Assessment, UCD Registry shall notify candidates of the authorisation of the award of the degree by the Academic Council Committee on Examinations. Following award of the degree, the candidate's thesis will be transferred from the eThesis examination system and uploaded to the University's open access repository Research Repository UCD (RRU). The thesis will then become automatically available for viewing, unless an embargo has been previously approved by the Graduate Research Board.

Candidates will also be required to submit, in a timely manner post examination, a final hardbound archival copy of the thesis to the Student Desk, UCD Registry for deposition in the Library. This archival copy is held in closed store in UCD Library. A graduation hold will be placed on a candidate's student record and the candidate will not be permitted to graduate or access transcripts, until such time as they submit the hardbound copy to the University. The hardbound copy shall be printed **single-sided**.

As a courtesy, the candidate shall normally also present a hardbound copy of the final thesis to the Principal Supervisor.

15. Degree Award and Conferring

Once the Academic Council Committee on Examinations has authorised the award of the degree, Assessment, UCD Registry and the Conferring Unit shall complete their responsibilities as outlined in Section 6.

Document Title	Weblink
University Academic Regulations	https://sisweb.ucd.ie/usis/!W_HU_MENU.P_PU BLISH?p_tag=GD-DOCLAND&ID=123
Guidelines for Preparation, Submission, Examination & Dissemination of Research Degree Theses	https://www.ucd.ie/graduatestudies/t4media/R esearch%20Degree%20Examination%20Guideli nes%20%20August%20%202023.pdf
Extenuating Circumstances Policy	https://sisweb.ucd.ie/usis/!W HU MENU.P PU BLISH?p_tag=GD-DOCLAND&ID=126
Plagiarism Policy	https://sisweb.ucd.ie/usis/!W_HU_MENU.P_PU BLISH?p_tag=GD-DOCLAND&ID=113
Policy for Supervision of Research Degree Students	https://sisweb.ucd.ie/usis/!W_HU_MENU.P_PU BLISH?p_tag=GD-DOCLAND&ID=10
Policy for Conflict Resolution for Supervisor(s) and Graduate Research Students	https://sisweb.ucd.ie/usis/!W_HU_MENU.P_PU BLISH?p_tag=GD-DOCLAND&ID=11
eThesis Guidelines	http://www.ucd.ie/students/assessment/

Related documents

Version history

Version	Date	Summary of Changes	Changed by
1.0 – 1.7	July 2007 – June 2009	Draft version revised following Policy Working Group input	Martina Boyle
1.8 – 1.23	Sept 2009 – Mar 2010	Changes made following stakeholder feedback	Michael Kennedy
1.24	26 Mar 2010	Changes made following consultation with UGPB	Michael Kennedy
1.25 – 1.28	Mar – Apr 2010	Changes made following consultation with ACCE	Michael Kennedy/ Ciarán Ó hUltacháin
1.29	23 April 2010	Additional minor changes following discussion at AC meeting of 23 April 2010. Final APPROVED version	Michael Kennedy
1.30 – 1.38	Dec 2010 - Mar 2015	Minor changes made to align policy with other university policies	Michael Kennedy/ Ciarán Ó hUltacháin/Martina Boyle
1.39	Mar 2015	Minor changes made to align policy with other university policies	Martina Boyle
1.40	30 Apr 2020	Policy aligned with the university's new Academic Regulations, incorporation of eThesis Exam system information	Emer Cunningham/Bianca Shaw
1.41	27 April 2023	Theses in Graduate Research Programmes Policy was extended to include all elements of research degree examination and the policy renamed Policy for Research Degree Examination	Emer Cunningham