

APPENDIX 1

Good Practice Guidelines and Responsibilities

This section outlines some guidelines for good practice in research and also the responsibilities of the research student, all supervisors, the Heads of Research, Academic Boards and the Graduate Research School Board, in relation to quality assurance in research programmes. This is not a stand-alone document and must be read in conjunction with the current edition of the Graduate Research Regulations.

A1.1 Responsibilities of the Graduate Research Student

A graduate research student is required to:

- Comply with the Graduate Research Regulations of TU Dublin.
- Comply with Code of Conduct for Research Integrity at TU Dublin
- Comply with other rules and regulations governing student activity at TU Dublin.
- Comply with the terms and conditions of any scholarship award.
- Agree with the appointed supervisor(s), the timetable for the proposed research including working hours
- At least 4 weeks in advance, agree with the appointed supervisor(s) arrangements for holidays;
- Agree with the appointed supervisor(s) the nature and extent of the guidance required
- Agree a regular schedule of meetings with the supervisor(s), including the advisory supervisor, where appointed and contribute to maintaining a permanent record of these meetings;
- Prepare with the supervisor(s) the research and professional development plans;
- Inform the supervisor(s) of significant problems and difficulties as early as possible;
- Maintain progress on a work schedule agreed with the supervisor(s);
- Conduct the research within the ethical standards of TU Dublin and other appropriate external agencies;
- Present written material on the work being undertaken as required by the supervisor(s).
- Complete the relevant forms to obtain approval for
 - Leave of absence;
 - Change of supervisors;
 - Change their mode of study;
 - To withdraw from their studies;
- Provide a comprehensive annual progress report by the date set each academic year and complete form PGR 2B [*Student Annual Progress Report*];
- Make an oral presentation on annual progress to an assessment panel;
- If applicable, at least 5 weeks prior to a transfer examination, submit a transfer report to the relevant Head of Research.
- Attend and undertake the transfer examination, if applicable, and comply with the results of the examination
- If applicable, at least 5 weeks prior to a confirmation examination, submit a confirmation report to the relevant Head of Research.
- Attend and undertake the confirmation examination, if applicable, and comply with the results of the examination
- Agree, if possible, with the supervisor(s) a date for submission of the final thesis;
- Give three months' notice of intention to submit a PgDip (Res), MPhil, PhD or DMus thesis to the Graduate Research School, by assisting in the completion of form PGR 4A [*Nomination of Examiners*];

- At least six weeks prior to the examination submit an electronic copy of the thesis together with the completed Form PGR 4B [*Confirmation of Suitability of Thesis*] to the Graduate Research School Office.
- Attend the oral examination and comply with the results of the examination

A1.2 Responsibilities of All Supervisors

Supervisory teams are encouraged that comprise of all relevant supervisors (lead, co-, advisory, associate, external from industry or another HEI) who play an active role in the graduate student's research project. The research team includes all supervisors and the graduate student. . In the event where the supervisory team cannot reach consensus in relation to any matter concerning the research student, then the decision of the lead supervisor is final.

All supervisors are required to:

- Be qualified to the appropriate level;
- Comply with the Graduate Research Regulations. At TU Dublin
- Code of Conduct for Research Integrity at TU Dublin
- Be cognisant of the National Framework for Doctoral Education, Framework of Good Practice for Research Degree Programmes and QQI's statutory Quality Assurance Guidelines for Providers of Research Degree Programmes.
- Participate in the selection of the graduate student;
- Mentor and guide the graduate student in the work;
- Agree with the student the nature and extent of the guidance required;
- Agree with the student the timetable for the proposed research including working hours
- At least 4 weeks in advance, agree with the student arrangements for their holidays; ;
- Prepare with the student the research and professional development plans;
- Where appropriate, to liaise closely with any other supervisor involved in the research;
- Advise the student when their research work has reached an appropriate stage such that the thesis may be completed and give approval for the preparation of a thesis
- Read thesis material in both proof and final form, before it is formally submitted for examination;
- Alternatively, arrange for the thesis to be independently read, evaluated and commented on by a colleague prior to formal submission;
- Agree, if possible, with the student that the thesis is ready for submission.

A1.3 Responsibilities of the Lead Supervisor(s)

The lead supervisor has a range of duties and responsibilities in overseeing the progress of the research work. It is preferable if the lead supervisor is a full-time or pro-rata member of staff of TU Dublin and in addition to the role expected of all supervisors **the lead supervisor** is also required to:

- Oversee the progress of the research work
- Participate in the selection of the graduate student and sign form PGR 1A [*Registration*];
- Arrange a regular schedule of meetings with the student to provide advice on the topic of the research and on the work to be undertaken, maintain a permanent record of these meetings;

- Refer the student to a professional counsellor, if necessary, in relation to problems external to the research;
- Ensure that the student undergoes any necessary training in research skills and techniques, including all safety and ethical aspects of the work;
- Obtain regular written reports from the student in order to monitor the progress of the research work and be able to provide constructive comments and advice;
- Clearly identify inadequacies in the work at as early a stage as possible, in order to maintain appropriate standards and to allow adequate time for re-orientation and correction;
- Ensure that the research complies with the ethical standards of TU Dublin and other appropriate external agencies;
- Advise the Head of School on all matters relating to the student.
- Advise the Academic Board and the Graduate Research School on the student's progress;
- Support the student's application for transfer to a higher register if appropriate;
- Support the student's application for confirmation for the PhD/DMus register if appropriate
- Seek to ensure that the student brings the research work to completion in due time advise the student on the format and lay-out of the thesis
- Agree, if possible, with the student, a date for submission of the final thesis;
- Endorse the student's intention to submit a PgDip (Res), MPhil, PhD or DMus thesis,
- Nominate an external and internal examiner for the examination of the student's thesis and oral examination for the relevant award by completing the PGR 4A [*Notification of Examiners*] form, with assistance from the student.

A1.4 Responsibilities of an Advisory Supervisor

The duties of an **advisory supervisor** are to:

- Provide guidance and assistance to the lead supervisor(s) in the planning of the research programme and ensuring the attainment and maintenance of an appropriate academic standard in the work being undertaken
- Advise the lead supervisor on the ethical standards of TU Dublin and other appropriate external agencies
- Help to resolve difficulties and advise on procedures
- Participate in the assessment panel which formally assesses the annual report, attends the student's oral presentation and makes an assessment report on the research and its progress, through completing form PGR 2C [Supervisor annual progress report]
- Participate in assessment panels in the Faculty
- Participate in the transfer or confirmation examinations as appropriate
- Reach agreement with the lead supervisor(s) on the nomination of a suitable external and internal examiner and assist the head of school in the nomination of a suitable internal reader if required
- Read and evaluate the thesis in both draft and final form, before it is submitted for examination and provide advice to the student and lead supervisor(s)
- Agree, if possible, with the student that the thesis is ready for submission

A1.5 Role of the Associate Supervisor

The **associate supervisor** is required to:

- Participate in the supervision team under the guidance of the advisory and other experienced supervisor(s)
- Engage in various of the roles set out in section A1.2 above

A1.6 Role of the Head of School

The Head of School may from time to time assign some of their responsibilities in respect of graduate research students to a head of discipline. All forms submitted to the Head of School should be approved within 2 weeks of submission.

The Head of School is required to:

- On the advice of the lead supervisor, confirm that the student possesses or will possess the required qualifications, or equivalent, prior to registration;
- On the advice of the lead supervisor confirm that the programme of research work is appropriate for the level of the award
- Confirm that provision can be made for adequate supervision and training, facilities and resources including equipment, and consumables required for the proposed research programme.
- Confirm that the student registration has been assessed and forward the PGR 1A to the relevant Head of Research (or nominee) for approval by Academic Board.
- Advise the Graduate Research School on the appointment of an advisory supervisor with the lead supervisor if required. Complete form PGR 5B [Changes in Registration Status], when it becomes necessary to make changes to the students research programme
- Participate in the assessment panel which formally reviews the annual report, attend the oral presentation and sign the PGR 2D [*Assessment of Annual Progress*]
- Participate in the formal module and progression board to consider the decisions of the annual assessment panels in the Faculty
- Support the student's application for transfer to a higher register if appropriate;
- Support the student's application for confirmation for the PhD register if appropriate
- Endorse the three months' notice of intention to submit a PgDip (Res), MPhil, PhD or DMus thesis, form PGR 4A [*Nomination of Examiners*], including the nominations for external and internal examiners.

A1.7 Role of the Head of Research

Each Head of Research is a member of an Academic Board and therefore assists in organising the quality assurance activities for graduate research in the Faculty, as set out in these regulations and serves as the main link with the Graduate Research School Office.

The Head of Research is required to:

- Present to Academic Board for approval programmes of research work which have not received approval from external assessors or an external funding agency;
- Process applications for student registration through Academic Board and forward to the Graduate Research School Office;
- Co-ordinate the annual evaluation event during which the graduate student is required to present a seminar on their work to staff, fellow students and other academics;
- Compile the annual evaluation results, arrange and chair the module and progression board which is comprised of the Head of School and all supervisors.
- Provide an annual report based on feedback from students and supervisors to the Academic Board and Graduate Research School Office and contribute to the Faculty Quality Action Plan.
- Table all requests for transfer to higher registers and confirmation examinations to Academic Board for approval and send the signed PGR 3B and PGR 3D forms to the Graduate Research School Office;
- Co-ordinate the transfer and confirmation examinations including all arrangements for the examiner, venue and documentation.

- Table all examiner nominations requests to Academic Board for approval and send the signed forms to the Graduate Research School Office;
- Return research plans for all students in the Faculty to the Graduate Research School;
- Compile the results of modules for research programmes and arrange and chair the module and progression boards which are comprised of the Head of School and all supervisors.
- Work with the Graduate Research School Office in the organisation of the induction programme for new research students;
- Work with the Graduate Research School Office in the organisation of the annual research student symposium;
- Participate in the evaluation panel for applications for PhDs based on publications;
- Co-ordinate the preliminary evaluation, forward all documentation to the, and arrange one meeting of the panel to evaluate applications for PhDs based on publications;
- Process any application for a change to the research programme.

A1.8 Role of the Academic Board

The Academic Board (in each Faculty/Campus) has a range of monitoring and other quality assurance responsibilities in relation to graduate studies by research. The Academic Board may from time to time assign some of their responsibilities in respect of graduate research students to a member of the Faculty or sub-committee of Academic Board. All forms submitted to the Academic Board for approval, should be approved within 2 weeks of submission.

The Academic Board is required to:

- Monitor the recruitment of graduate research students to the Faculty.
- Confirm the appointment of the supervisor(s), ensure the availability of the facilities required for the research work and approve the student's acceptance on the appropriate register for graduate study by research by endorsing form PGR 1A [*Registration*]
- Advise the Graduate Research School on the appointment of an advisory supervisor with the proposing supervisor in the case of the latter not possessing experience of successfully supervising a graduate research student to graduation with an award of the appropriate level
- Confirm that the research complies with the ethical standards of TU Dublin and other appropriate external agencies
- For candidates who wish to transfer from the MPhil to PhD/DMus register approve the nomination of transfer examiners and supervisory arrangements through completion of form PGR 3A [*Application to Transfer to Higher Register*] and forward to the Graduate Research School Board for approval.
- When the result of an annual assessment is that the student be transferred to a higher register, ensure that the appropriate supervision arrangements are put in place and adequate resources are made available, before the student is registered on the higher register
- Ensure that the results of annual evaluation and feedback from students and supervisors is included in the Faculty Quality Action Plan
- Endorse the three months' notice of intention to submit a PgDip (Res), MPhil, PhD or DMus thesis, form PGR 4A [*Nomination of Examiners*], including the nominations for external and internal examiners.
- Note the results of examinations for awards for graduate students within the Faculty and ensure that all successful candidates are duly invited to the conferring ceremony

A 1.9 Research Programme Committee

The Research Programme Committee is a sub-committee of the Graduate Research School Board.

A 1.9.1 Role of the Research Programme Committee

The Research Programme Committee is responsible for academic quality and quality assurance in all graduate research programmes at Tu Dublin and has the following roles and responsibilities:

- Preparing the quality actions plans for all graduate research programmes
- advising the Graduate Research School Board, and as appropriate, through it, Academic Council, on matters relating to proposed or existing programme;
- developing the programme and assisting in processing such proposals through the appropriate Validation Panel with a view to securing approval of the programme
- following appropriate internal (and if necessary, external) approval, monitoring the implementation of the programme
- completing an annual monitoring report (Q5 form) for the programme
- incorporating approved modifications in the Student Handbook and University Information Systems
- carrying out the critical self-study of the programme and the preparation of revised documentation and other tasks in relation to the programme review;

A 1.9.2 Membership of the Research Programme Committee

The Research Programme Committee has representation from across the TU Dublin and also includes research student representatives. Each Faculty is represented by their Head of Research and in addition the University representatives from several National PhD programmes are members of the Committee. The full membership is given below

- Head of the Graduate Research School (Chair)
- Coordinator of Graduate Research School Office (Secretary)
- Vice President for Research and Innovation
- Head of Research for each Faculty
- Student representative from each Faculty
- Experienced Supervisor nominated by each Faculty Board
- Representative of National PhD Programmes
- Representative of International Programmes
- Representative of Research Hubs

A 1.9.3 Meetings of the Research Programme Committee

The Research Programme Committee shall meet at least once each semester and at such other times as required

A1.10 Role of the Graduate Research School

The Graduate Research School is designed as the over-arching entity for the quality assurance of graduate research and to support and develop graduate education across Technological University Dublin. All graduate student researchers and supervisors are, in addition to being registered in their own school, members of the Graduate Research School. The Graduate Research School Office provides a comprehensive support service to all members of the Graduate Research School. This service includes the marketing and promotion of graduate research opportunities, the recruitment of graduate research students, the maintenance of the graduate research registers, the administrative support for the progression and the examination of graduate research students. The Office also assists the Graduate

Research School in the co-ordination of research programmes, provision of events to enhance the graduate student learning experience and promotion of the achievements of the graduate research community.

A1.10.1 Terms of References of the Graduate Research School

The Graduate Research School Board has responsibility for the quality assurance of graduate research at TU Dublin and developing and monitoring the administration of regulations for graduate studies through research. The Head of the Graduate Research School (or nominee) will act as chairperson. The Board may establish sub-committees and working parties, some of whose members may be from outside the Committee or from outside TU Dublin, with the approval of Academic Council. The chairperson shall be responsible for reporting the decisions and views of the Board to Academic Council and its sub-committees, and for transmitting the relevant decisions and views of Academic Council and its sub-committees to the Board.

- Advising Academic Council on matters related to graduate and postdoctoral research
- Promoting, facilitating and encouraging graduate research education across TU Dublin
- Approving the appointment of examiners for transfer and confirmation examinations on behalf of Academic Council
- Approving the appointment of examiners for final examinations on behalf of Academic Council
- Having taken account of the views of examination panels, make recommendations for awards to Academic Council.
- Monitoring TU Dublin's graduate research programmes
- Liaising with other sub-committees of Academic Council in relation to graduate research programmes
- Liaising directly with appropriate external institutions, in matters relating to collaborative research and supervision of graduate students
- Carrying out such other functions as are considered appropriate subject to the approval of Academic Council

A1.10.2 Membership of the Graduate Research School

(Members will not necessarily be members of Academic Council)

- Head of the Graduate Research School (Chair)
- Coordinator of Graduate Research School (in a non-voting secretarial capacity)
- Vice President for Research and Innovation
- One Faculty Dean nominated by the President
- Postgraduate Officer from TU Dublin Student's Union
- Head of Research for each Faculty
- Active research supervisors appointed by each Faculty Board
- One student representative from each Faculty
- One Faculty Manager
- One Research Hub Representative
- One member from Library Services
- One member from Academic Affairs

A1.10.3 Meetings of the Graduate Research School

The Board shall meet at least twice each semester and at other times as required.

A1.11 Guidelines for Viva Voce Examinations

The assessment of a candidate for the award of MPhil or PhD/DMUs from TU Dublin is an equally-weighted two-stage process i.e. the examiners assessment is on the basis of both the written thesis and a viva voce examination.

A *viva voce* examination is a systematic interview of the student by the two examiners in private session. At the *viva voce* examination examiners may have questions relating to the content of the thesis but may also probe the candidate's general knowledge of the discipline area. The examiners need to ensure that the work submitted is the candidates own work and that the candidate meets the criteria for the award being sought. An independent chairperson is nominated by the Graduate Research School Office from a pool of senior staff who have completed the license to chair research examinations.

Prior to the examination the chairperson should ensure that the venue is suitable and that projection and computer facilities are available. They should also ensure that water is available for all in attendance and that appropriate arrangements have been made for hospitality *vis a vis* the external examiner.

The chairperson should bring to the examination a copy of the current graduate research regulations, the thesis, the PGR 4C form and the expenses claim form.

Each examiner will complete an individual typewritten preliminary report on the thesis prior to the examination and will return it to the designated chairperson on the day of the examination.

The Chairperson's role is to manage and preside over the examination, ensuring that the regulations are followed and all documentation is completed and sent to the Graduate Research School Office.

The Chairperson should provide advice on the regulations to the examiners and student when necessary but does not take part in any decision regarding the recommendations for the award.

A 15 minute preparatory meeting between the chairperson and the examiners should be held just prior to the examination to

- Agree the approach to the viva voce – the content and conduct
- Review the written preliminary reports
- Agree the management of post-viva paper work.

Questions at the examination should be led by the external examiner but with input where appropriate and agreed in advance by the internal examiner.

The viva voce examination may be preceded by a short presentation (max. 15 minutes) of the student's work if the student wishes.

The viva voce examination and all documentation should normally be completed within 2 hours.

When the examiners have completed their questions the candidate and supervisor(s) if present should leave the room.

The examination report, which covers both the thesis and oral examination and concludes with a recommendation from the examiners must be completed immediately (within 20 mins) following the viva voce.

If corrections are required to the thesis a precise typewritten list must be provided.

The Chairperson will verbally notify the student of the recommendation (which is subject to approval from Academic Council) immediately on completion of the documentation.

The Chairperson will return the completed documents to the Graduate Research School Office.

The Chairperson will advise the external examiner on completion of expenses claim forms.

The Graduate Research School Office will ensure that external examiners are paid in line with policy.

The Graduate Research School Office will provide written notification of the result to the student, the supervisor(s) and the Head of School.