OLLSCOIL TEICNEOLAÍOCHTA BHAILE ÁTHA CLIATH

DUBLIN

TECHNOLOGICAL UNIVERSITY DUBLIN

GRADUATE RESEARCH SCHOOL OFFICE

GRADUATE

RESEARCH

REGULATIONS

1st Edition 2022

History of Graduate Research Regulations at TU Dublin

The Graduate Research Regulations ensure robust quality assurance so as to support research students and their supervisors during their research programme. The Regulations describe the processes for admission, progression and examination of research students on postgraduate diploma, research masters and doctoral programmes and were first introduced in the early 1990s.

Starting in 2007, the universities in Ireland established graduate schools to manage and assure the quality of research degree programmes, and to support four-year structured PhD programmes that include generic skills training components. Graduate schools also provide or coordinate centralised services to support the administration of research programmes, organise admissions, induct new students and provide general skills training. In 2015, a Joint Graduate Research School (Joint GRS) was approved by the three Presidents for the TU Dublin alliance partners. The Joint GRS Board, with membership from across the alliance, had responsibility for the quality assurance of graduate research and developing and monitoring the administration of regulations for graduate studies through research. The decisions and views of the Board were reported to all three Academic Councils.

In 2015, the Joint GRS reviewed the research programme through a QA process with an external panel of experts and included a review of the Graduate Research Regulations. The final approved Regulations were tailored to accommodate students registered in each of the three partner institutions and were adopted by all partners in 2015. The Graduate Research School structure was confirmed in 2019 on establishment of TU Dublin and the Graduate Research School Board reports to Academic Council and sub-committees.

In 2015, the Higher Education Authority published Ireland's National Framework for Doctoral Education and the following year, QQI published the report from an Expert Panel Review of the QA of Research Degree Programmes in Irish HEIs. In 2017, QQI published statutory Quality Assurance Guidelines for Providers of Research Degree Programmes and these guidelines remain the primary source of such statutory requirements. To aid the implementation of the statutory guidelines, QQI issue Ireland's Framework of Good Practice for Research Degree Programmes in 2019. As part of the quinquennial QA process, in 2020/21 the TU Dublin Research Programme Committee undertook a review of the research programme, including a review of the 2015 Graduate Research Regulations to ensure both the Statutory Guidelines and the Framework are fully and consistently implemented across TU Dublin. This review has resulted in the 1st edition of the Graduate Research Regulations for TU Dublin.

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CHAPTER 1

Recruitment, Application and Registration Procedures

1.1 Introduction

Technological University Dublin (TU Dublin) was established as a unified autonomous university in January 2019, although it has academic traditions going back to 1887. TU Dublin has the statutory authority to confer academic awards at all levels up to doctoral degrees. This document details the academic guidelines and regulations in relation to graduate research awards. It should be read in conjunction with the current editions of the:

- Code of Conduct for Research Integrity at TU Dublin
  https://www.tudublin.ie/research/postgraduate-research/current-students-supervisors/

and other rules and regulations governing student activity at TU Dublin.

The guiding principle in these regulations is to maintain the high quality of TU Dublin's research degrees. While these regulations are particularly directed towards informing and supporting the graduate research student through all stages of the research project, they are also supportive of staff engaged in supervision of graduate research students, through the provision of standardized monitoring, evaluating and examining processes.

The Graduate Research School Office is responsible for the administration of all quality assurance issues related to graduate research students and the Head of the Graduate Research School is the person responsible for driving this quality assurance to the highest standard. Contact details for the Graduate Research School Office are available at https://www.tudublin.ie/research/postgraduate-research/graduate-research-school/meet-the-team/

These regulations have been developed to govern the conduct of TU Dublin's graduate research programmes. While it is TU Dublin's intention that these regulations will be followed by TU Dublin in all cases and all graduate research students are required to abide by and adhere to these regulations, from time to time, circumstances may dictate that the processes described in these regulations be modified to address specific issues that arise. In such circumstances, the Head of the Graduate Research School (or nominee) shall advise of the processes to be followed and their decision in this regard shall be final. The forms used to administer these regulations are available at https://www.tudublin.ie/research/postgraduate-research/current-students-supervisors/

1.2 TU Dublin's Graduate Research Awards

TU Dublin confers research-based postgraduate awards, upon the recommendation of Academic Council. Candidates can register for one of four research degrees in TU Dublin:
- Postgraduate Diploma by Research (PgDip (Res));
- Master of Philosophy (MPhil);
- Doctor of Philosophy (PhD);
- Doctor of Music (Performance) (DMus)

TU Dublin also confers Professional Doctorates and the details for the award of each Professional Doctorate are contained within its student handbook.

1.3 Admission Requirements

The entry requirements for the PhD programme are as follows:
      Minimum of a 2.1 honours degree (level 8) in a relevant discipline
      or
      Transfer from the research Master's degree (level 9)

The entry requirements for the DMus (Performance) programme are as follows:
      Outstanding level of music performance demonstrated by audition.
      and
      Minimum of a 2.1 honours degree (level 8) in a relevant discipline
      or
      Transfer from the research Master's degree (level 9)

The entry requirements for the Professional Doctorate programme are as follows:
      Significant experience as a professional working in the field or in a related field demonstrated through submission of a professional portfolio
      and
      Minimum of a 2.1 honours degree (level 8) in a relevant discipline
      or
      Transfer from the research Master's degree (level 9)

      The level of professional experience is benchmarked against international norms in the discipline area of the professional doctorate and are detailed in the relevant Student Handbook.

The entry requirements for a research Master's programme are as follows:
      Minimum of a 2.2 honours degree (level 8) in a relevant discipline
      or
      Transfer from the Postgraduate Diploma by Research (PgDip(Res))
      or
      Transfer from a taught Master's programme of TU Dublin

The entry requirements for a PgDip(Res) programme are:
      Minimum of a pass degree (level 8) in a relevant discipline

The Graduate Research School Office will verify the equivalency of non-Irish qualifications.

An applicant, whose native language is not English, must display an adequate proficiency in English in four categories; speaking, listening (comprehension), listening and writing. The recognised English language tests are listed at https://www.tudublin.ie/study/international-students/entry-requirements/english-language-requirements/ The minimum level required for research programmes is International English Language Testing System (IELTS) 6.0, or equivalent, for the overall average score and a score not lower than 5.5 in each category. Any applicant who has successfully completed an honours degree (level 8) or a Master's degree (level 9), through the medium of English is exempt from this criterion.
In making an application to pursue graduate research studies, a candidate is required to provide a transcript of the examination results, from a test taken within the previous 2 years, indicating proficiency in English.

1.4 Recognition of Prior learning

Recognition of Prior Learning (RPL) is a process which acknowledges, and gives value to, learning achieved prior to registering for a programme or prior to seeking an award. Prior learning may be a result of successful participation in a formal learning programme for which certification has been awarded. In this case, the process is called Accreditation of Prior Certificated Learning (APCL). Prior learning may also be an outcome of non-formal or informal learning achieved through workplace training, voluntary sector activities or private study, which are not certified. The process of using this type of learning for higher education purposes is called Accreditation of Prior Experiential Learning (APEL).

Recognition of Prior Learning can be used
- in relation to the taught elements of the research programme
- to a maximum cumulative total of 10 credits on the European Credit Transfer System (ECTS)
- within the first 3 months of registration.
- once and cannot be used for any additional subsequent credit.

Only in exceptional cases can RPL be used for entry to a research programme for which applicants have not formally achieved the minimum entry requirements, given in section 1.3. In such cases, the applicant must provide evidence of significant appropriate learning achieved following their undergraduate qualification. All applications for entry to a research programme based on RPL, will be considered by a panel comprised of the Head of the Graduate Research School, the Faculty Head of Research, the Head of the Academic School, and the supervisor(s). RPL cannot be used for exemption from the English language requirement.

For RPL, a portfolio of evidence of prior learning together with a completed application form [PGR 1C Application for RPL] should be submitted to the Graduate Research School Office, within the first 3 months following registration. An Evaluation Panel, comprised of the lead supervisor, relevant Head of School, relevant Head of Research or equivalent and chaired by the Head of the Graduate Research School, will assess whether the applicant is eligible for recognition of prior learning. Additional experts may be appointed to the panel to provide specialist advice. Details of the portfolio of evidence, application and evaluation are available at https://www.tudublin.ie/media/website/research/postgraduate-research/graduate-research-school/documents/Portfolio-for-Recognition-of-Prior-Learning.pdf

1.5 Visa Requirements
Applicants who are not a national of a European Union country may require a valid permit to study in the Republic of Ireland. It is the responsibility of the applicant to ensure that they have a valid visa and comply with the terms of any visa granted.

1.6 Recruitment of Students
Recruitment of graduate students for funded programmes is through public advertisement. All vacancies are posted on the TU Dublin web pages at https://www.tudublin.ie/research/postgraduate-research/prospective-students/find-a-project/
For the recruitment and selection of graduate research students, the following principles apply:
1. Recruitment of graduate research students must be open and transparent.
2. Graduate research students must be supervised by at least one experienced supervisor.
3. Graduate research students should only be recruited for approved programmes of research.
4. Graduate research students must meet the entry requirements for the relevant programme, prior to admission.
5. Supervisors should select the most suitable student for a funded project, following interview of all

shortlisted candidates, that express interest in the project.

6. The Graduate Research School Office will issue the offer letter to the successful candidate and following acceptance by the candidate, the student will be registered for the appropriate award on payment of the appropriate fee.

1.7 Arrangements for Supervision

All graduate research students must register in an academic school and are also members of the Graduate Research School. The supervision of each research student is the collective responsibility of the supervisor(s), the academic unit and the university.

Academic supervision is central to the successful completion of graduate research work. Supervisors play a key role in designing the research project, mentoring the graduate student in their work, maintaining the general direction of the research, setting appropriate academic targets and standards to be attained by the student and assessing when they have achieved them. Although more than one supervisor may be appointed, one is designated as the lead supervisor, who must be a current full-time or pro-rata member of staff of TU Dublin.

One of the supervisors must
- Have a contract of employment with TU Dublin that extends beyond the thesis submission date of the student.
- Hold a qualification equivalent to, or higher than, the award being sought by the graduate student to be supervised;
- Have previously supervised a student to completion for a qualification equivalent to or higher than the award being sought.

Supervisors who have not previously supervised a research student to successful completion at the level of the award being sought must, within 12 months of the student's first registration, undertake the Licence to Supervise course, including training in Research Integrity, offered by the Graduate Research School Office. In such cases, a suitably experienced advisory supervisor must also be appointed. In the conduct and management of the project, the lead supervisor normally provides the day-to-day supervision of the graduate student's work.

Where research work is interdisciplinary, involving possibly more than one school and/or collaboration with an external organisation, a second (or third) supervisor, may be appointed.

An associate supervisor, not necessarily possessing the requisite qualifications, may also be appointed to the supervision team if they are experts in the required discipline.

Each graduate student must be supervised by at least one qualified and experienced supervisor. However, supervisory teams are encouraged that comprise of all relevant supervisors (lead, 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.

It is recommended that supervisors assign a graduate student mentor to each new student in their first year.

All roles and responsibilities are described in Appendix 1. Processes relating to changes in supervision are described in detail in Chapter 6 of this document. Through the annual monitoring process, the relevant Academic Board may withdraw the student from the programme should s/he neglect his/her obligations

towards the project or should s/he fail to follow consistently and effectively the advice of his/her supervisor(s). Similarly, at any time during the period of the research, the original supervisor(s) may need to be replaced, for any number of reasons, such as, they may be no longer available due to retirement, illness or death or it is found that the original supervisor neglects his/her obligations. The relevant Head of School proposes the replacement supervision, for approval by their Academic Board.

1.8 Fees
Fees are set by TU Dublin for the various programmes of graduate study by research. Such fees are payable annually and a listing of the current scale of fees is available at https://www.tudublin.ie/research/postgraduate-research/prospective-students/fees-scholarships/
In order to fulfil registration requirements, the appropriate fee must be paid each academic year. These fees may be paid from research or school funds or the student may self-fund and pay their own fees.

1.9 Residency
While short term visits or internships, at home or abroad, in industry or at another higher education institution, are strongly encouraged, both full-time and part-time research students registered at TU Dublin will normally reside within Ireland for the duration of their studies. Full-time graduate research students should maintain an actual presence within their respective schools throughout their studies and reside within a reasonable travelling distance of their TU Dublin campus.

Research students, in consultation with their supervisor(s), must send the appropriate completed form to the Head of the Graduate Research School if they wish to reside and undertake research outside Ireland for a period of three months or more in any given calendar year. New students should complete the PGR 1A [Registration] form. Existing students should complete the PGR 5B [Change in Registration Status] form. The rationale and details for residency outside Ireland, and arrangements for health and safety, supervisor oversight of the field, experimental or other work and completion of modules must be provided. The information should be submitted at least 3 weeks prior to making arrangements to leave the country. The Head of the Graduate Research School will assess the information provided on the advice of the supervisor, and will ensure that the student is informed of any decision within 7 working days following application. The Graduate Research School Office will ensure that all research students approved for residency outside Ireland are correctly registered. All submissions will be noted at the Graduate Research School Board. Research Students must inform the Graduate Research School Office of the date of departure and their address while resident abroad. Research Students must also notify the Graduate Research School Office of their return. Research students cannot travel until all conditions have been satisfied. An appeal against a decision in respect of residency, withdrawal, transfer, annual evaluation or confirmation of PhD registration shall be made in accordance with the appeal procedure set out in Appendix 2.

1.10 Expressions of Interest and Interview Process
Prospective students are encouraged to make informal contact with potential supervisors prior to registration. This contact will permit assessment of the feasibility of carrying out a research programme at the level sought, as well as allowing a thorough discussion of the proposed research project with the supervisor(s). It will facilitate discussion of funding arrangements, the availability of laboratory accommodation and other requirements. Expressions of interest in postgraduate research at TU Dublin can be submitted at https://www.tudublin.ie/research/postgraduate-research/prospective-students/how-to-apply/

All applicants for the DMus programme will be requested to attend an audition interview in person, organized by the lead supervisor. The audition panel will consist of
- All supervisor(s) involved in the project;
- The relevant Head of School or their nominee;

- The relevant Head of Research or their nominee who will act as Chairperson;
- Any others as deemed appropriate by the Graduate Research School Board.

When the audition panel reaches an agreement on the selected candidate, the chairperson will forward the completed PGR 1A [Registration] form to the Graduate Research School Office.

Applicants for Professional Doctorate programmes will be requested to submit a professional portfolio to the relevant Faculty Head of Research or nominee and attend an interview arranged by the relevant Faculty or School. When the interview panel reaches an agreement on the selected candidate, the chairperson will forward the completed PGR 1A [Registration] form to the Graduate Research School Office.

Applicants for funded projects that have a defined recruitment process, such as the SFI-funded Collaborative Research Teams (CRTs), will enter the recruitment process defined for that project. All other applicants for funded projects will enter the selection process described below.

Student Interviews and Selection

Step 1:
After the closing date for receipt of EOIs for funded projects, the Graduate Research School Office will check that each candidate meets the entry requirements for the programme, including English language proficiency. The Graduate Research School Office will contact all ineligible candidates.

Step 2
The Graduate Research School Office will request curriculum vitae from all eligible candidates and will prepare the shortlist template and compile and send the following documentation to the lead supervisor.
1. EOIs and CVs received from all eligible candidates.
2. The shortlist template.
3. The selection report template.

Step 2:
The lead supervisor acts as chair and arranges the selection process and interviews, which may be conducted online. The supervisory team should consider each eligible candidate and shortlist for interview. Candidates should only be shortlisted if they meet all the essential and a minimum of ONE of the desirable criteria.

Eligible candidates will be requested to attend for interview in person or via MS Teams. The panel will be comprised of at least 3 members with at least one having experience of successful supervision of research students to completion and must consist of:
- Supervisor(s) involved in the project
- A person independent of the supervisory team
- An industry representative if the student is going to spend time in the industry
- Any others as deemed appropriate.

At least one member of the interview panel should have a license to recruit (provided by TU Dublin) to ensure that the best candidate is selected.

Step 3:
Following interview, the lead supervisor submits the following documentation to the Graduate Research School Office:
1. The completed and signed shortlist.
2. The completed and signed selection report.
3. The completed and signed PGR 1A for the successful candidate.
4. Copy of graduation certificate for highest degree received by the successful candidate.
5. If relevant, transcripts of English examination results, from a test taken within the previous 2 years, indicating proficiency in English, for the successful candidate.

Step 4:
The Graduate Research School Office will issue the offer letter to the successful candidate and following acceptance by the candidate, the student will be registered for the appropriate award on payment of the appropriate fee.

If the candidate does not accept the offer, the Graduate Research School Office will issue an offer letter to the reserve candidate, if any.

The Graduate Research School Office will also write to all unsuccessful candidates.

1.11 Assessment of Research Programmes

The proposed programme of research work must be appropriate for the research award for which the candidate is registering. The programme of research work may be approved:
- through the TU Dublin scholarship assessment process or
- by a recognised external funding agency (e.g. Science Foundation Ireland, Irish Research Council, Health Research Board) or
- by application to the relevant School.

For applications to the School the supervisor(s) forwards the description of the proposed programme of research under the following headings to the Head of School:
- Project Title:
- Name of Supervisor(s):
- School(s):
- Award Sought: PgDip or MPhil or PhD or DMus
- Mode of Study: Full-time or Part-time
- Project Abstract (max. 300 words)
- Project Details(max. 500 words)
    - Current literature and state-of-the-art
    - How project will advance state-of-the-art and contribute new knowledge
    - Aims, objectives and central research question.
- Detail research design and methodologies (max. 500 words)
- Schedule to include (max. 500 words)
    - work-package with time-plan, milestones and deliverables
    - risks that may prevent achieving deliverables
    - risk mitigation plan
- Data Management Plan (max. 300 words)
- Research Impact Statement (max. 300 words)
- Resources required

The Head of School assesses the application to determine that:
- The proposed programme of research work is appropriate for the research award;
- TU Dublin can provide the academic expertise, facilities and resources, including equipment, travel funding and consumables required for the proposed research programme;
- Provision can be made for adequate supervision of the proposed research.

Professional Doctorate research students must submit a proposed programme of research normally by the end of Year 2 in consultation with supervisor(s).

When the resources required for the work are outside the School, confirmation of availability of those resources must be obtained in writing by the supervisor from the appropriate responsible person.

Within the first year of student registration, the lead supervisor must receive approval from the TU Dublin Research Integrity and Ethics Committee at researchethics@tudublin.ie. This is compulsory for all research projects in TU Dublin. Any significant change during the course of the project may require re-approval of the research programme by the Research Integrity and Ethics Committee.

1.12 Registration

1.12.1 Registration for Self-Funded Students.

Step 1:
A self-funded student should, with the help of the lead supervisor, submit the following documentation to the Graduate Research School Office:
1. The programme of research, approved according to the process described in detail in section 1.11.
2. The completed and signed PGR 1A.
3. Copy of graduation certificate for highest degree received.
4. If relevant, transcripts of English examination results, from a test taken within the previous 2 years, indicating proficiency in English.

Step 2:
The Graduate Research School Office will issue the offer letter and following acceptance by the candidate, the student will be registered for the appropriate award on payment of the appropriate fee. In accepting the offer, the candidate is agreeing to abide by the regulations of the University. The Graduate Research School Office will report on research student registrations to the Board of the Graduate Research School.

1.12.2 Registration for Funded Students.

Step 1:
As described in Section 1.10, the lead supervisor submits the following documentation to the Graduate Research School Office, following interview of eligible candidates:
1. The completed and signed shortlist.
2. The completed and signed selection report.
3. The completed and signed PGR 1A for the successful candidate.
4. Copy of graduation certificate for highest degree received by the successful candidate.
5. If relevant, transcripts of English examination results, from a test taken within the previous 2 years, indicating proficiency in English, for the successful candidate.

Step 2:
The Graduate Research School Office will issue the offer letter to the successful candidate and following acceptance by the candidate, the student will be registered for the appropriate award on payment of the appropriate fee. In accepting the offer, the candidate is agreeing to abide by the regulations of the University and places on funded graduate research programmes may also be governed by the terms and conditions of a funding agency, details of which are available from the Graduate Research School Office. The Graduate Research School Office will report on research student registrations to the Board of the Graduate Research School.

1.13 Non Standard Admission

Students registered on a research programme at another higher education institution, may apply to change registration to a research programme at TU Dublin.

In such cases, the student must:
- Meet the minimum admission criteria, including English language requirements, described in section 1.3 of these regulations.
- Have a proposed programme of research work approved as per section 1.11 of these regulations.
- Complete and submit the PGR 1A [Registration] form as per section 1.12 of these regulations.

- Submit a declaration from their supervisor at the other higher education institution, that
  - There are no intellectual property issues
  - The student is permitted to use the research carried out to date, in any thesis submitted for examination for an award at TU Dublin
- Submit a declaration from the Head of the Graduate School or equivalent, at the other higher education institution, that the student is permitted to change institutions and continue their work at TU Dublin under new supervision.

1.14 Induction Programme

During their first year, all research students should attend an induction event which will acquaint the students with the research process and regulations. This event is organised by the Graduate Research School Office, and the dates will be announced online and also given in the Student Handbook.
A typical Induction Programme is as follows:
- Research Ethos: What does a Postgraduate Research Degree involve?
- Introduction to Research Plans;
- Library Services;
- Student Services;
- International Student Services;
- Research Ethics
- Technology Transfer Processes
- Graduate Research Regulations;

1.15 Research Integrity Training

All new research students must complete training in research integrity, provided by the Graduate Research School Office within the first 6 months following registration. This event is organised by the Graduate Research School Office, and the dates will be announced online and also given in the Student Handbook.

CHAPTER 2

Programme Structure and Credits

2.1 Introduction

There are two main elements to the research programmes at TU Dublin:
Element 1   Original Research
Element 2   Professional Skills Development

This chapter describes the programme structure and credits, using the European Credit Transfer System (ECTS). Annual progression boards consider the results of both annual evaluations of research (element 1) and professional skills development (element 2) and will decide on the progression of each student to the following year. However, the basis for the award of all research degrees at TU Dublin is successful completion and examination of the research thesis, comprising work of publishable quality.

2.2 Element 1 - Original Research

Each individual student follows their own research path, the core of which must be a coherent body of original research, at the end of which, the candidate must submit a comprehensive thesis for examination. The basis for the award of all research degrees at TU Dublin is successful completion and examination of the research thesis, comprising work of publishable quality. In addition PhD, DMus and MPhil candidates must complete a *viva voce* examination following submission of the thesis.

Individual students may require training in discipline specific skills, in order to implement their research work-programme. These training requirements are electives and are identified through the research planning process described in section 2.2.1. The supervisor(s) will work with the graduate student to determine how best to address their training needs. This training may be formal modules provided by TU Dublin or other Universities or non-formal provided by the supervisors or other experts. Such training in discipline specific skills is unique to each individual student and their project and is an inherent part of any PhD. As such, this training is included in Element 1 of research programmes and is not accredited separately. If individual students wish for this training to be included in their record, they should complete the PGR 6 form, with the training details. The form should be returned to the Graduate Research School Office, well in advance of any training event and the Graduate Research School Office, will liaise with the module provider and ensure that all discipline specific training successfully completed by the student is noted on their record in the Student Information System.

Attendance and oral/poster presentations at national and international conferences and dissemination of research results in peer-reviewed journals, books and/or other media are strongly encouraged. These components are also included in Element 1 of research programmes and are therefore not accredited separately.

2.2.1 Research and Professional Development Plan

The research teams, inclusive of the graduate student and their supervisors, meet initially to discuss the research question(s) and methodologies to be used. The team also assesses any skills training the graduate research student may require in order to effectively implement the methodologies and answer the identified research question(s), and take into account the acquisition of particular skills at appropriate times. The skills training should also take account of any future professional needs and career plan of the student.

Following the initial meeting, the research team develop the research programme with reference to any project plan which may have been developed as part of a funding application, through the mechanism of a research and professional development plan (RPDP). The RPDP includes

- Current literature and state-of-the-art
- How your project will advance state-of-the-art and contribute new knowledge
- Aims, objectives and central research question
- Details of research design and methodologies for the project duration
- Schedule of work-packages/methodologies including measurable outcomes, milestones and deliverables with time-lines
- Risks that may prevent or delay deliverables and risk mitigation plan
- Data Management Plan
- Research Impact Statement
- Plans for dissemination of results,
- Possible lay-out of final thesis.

The Research and Professional Develop Plan (RPDP) [Form PGR 2A] should be completed and kept under constant review.

2.2.2 Annual Evaluations

For Stage 1 and Stage 3 students, Element 1 also incorporates annual evaluations which are discussed in detail in Chapter 3.[1] Briefly, the Research and Professional Develop Plan (RPDP) [Form PGR 2A] should be reviewed annually by the student in consultation with the supervisor(s). In addition, the student is required to complete an annual progress report [Form PGR 2B] and attend an annual evaluation event. Credits (ECTs) are not applied to the Research (Element 1), including the annual evaluations, of the programme.

For Stage 2 students, Element 1 also incorporates transfer or confirmation examinations, which are discussed in detail in Chapter 3 and summarised below in section 2.2.3. Credits (ECTs) are not applied to the Research (Element 1), including transfer/confirmation examinations, of the programme.

2.2.3 Transfer/Confirmation Examinations

Before the end of Stage 2, all PhD/DMus students must undertake a confirmation examination, which is discussed in detail in Chapter 3. Students on the PhD and DMus programmes can also transfer between the programmes in a process described in Chapter 3.

Students on the MPhil programme can transfer to the PhD/DMus programme before the end of Stage 2, in a process similar to the confirmation examination. Students on the PgDip(Res) programme can similarly transfer to the MPhil programme.

2.3 Element 2 - Professional Skills Development

Research programmes at TU Dublin develop creative, critical and independent individuals who advance the boundaries of research. Graduate research students are provided with opportunities to develop a range of skills, including both research and professional skills. The National Framework for Doctoral Education endorses the following skills and attributes, and these are also key educational objectives for all graduates of TU Dublin research programmes:

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[1] Stage 1 equates to year 1 of a full-time programme and years 1 and 2 of a part-time programme. Stage 2 equates to year 2 of a full-time programme and years 3 and 4 of a part-time programme, and so on.

- research skills and awareness;
- ethics and social understanding;
- communication skills;
- personal effectiveness/development;
- team-working and leadership;
- career management;
- entrepreneurship and innovation

These skills are developed by research students by completion of Element 1 and in particular, by completion of modules in Element 2. Under Element 2, there are 5 modules, namely,

Module 1	Research Integrity	5 ECTS
Module 2	Starting Your Research	5 ECTS
Module 3	Progressing Your Research	5 ECTS
Module 4	Completing Your Research	5 ECTS
Module 5	Work-based Learning	5 ECTS

Professional Doctorate students should consult the relevant Student Handbook for the Element 2 - Professional Skills Development requirements delivered in Years 1 and 2. All Professional Doctorate students must complete Module 1 Research Integrity and all discipline, professional practice and research skills modules required for their award.

2.3.1 Training Events and Indicative Calendars

Training in Research Integrity (RI) is compulsory for all research students and the module is approved for 5 ECTS.

Professional Doctorate students should consult the relevant Student Handbook for the training events and indicative calendars. A blended mode of delivery is employed for Professional Doctorate training, where there is a pre-planned mix of in-person on-campus and online contexts.

Additional training in professional skills development is delivered to each graduate research student at TU Dublin in a 1 week intensive training block, delivered on three occasions each year. An indicative calendar is given below.

Date	Module 1 - Research Integrity 5 ECTS	Module 2 - Starting your Research 5 ECTS	Module 3 - Progressing your Research 5 ECTs	Module 4 - Completing your Research5 ECTs	Module 5, Work based Learning 5 ECTS
	Induction for all students				
Monday	Research Integrity				Work-based Learning for employment-based students
Tuesday		Starting your Research: Research Design & Methods	Open Research Agenda	National Development Plans, European Missions and UN SDGs	
		Parallel Workshops on Qualitative, Quantitative, Mixed Research Methods.	Panel Discussion on Open Research	Research Impact	
Wednesday		Data Analysis & Data Visualisation	Information Retrieval	Thesis Preparation	
				Panel Discussion; Preparing for Your Viva Voce	
Thursday		National Development Plans, European Missions and UN SDGs	Communication and Writing Skills	Entrepreneurial Activities	
			Networking		
			Getting Published		
Friday		Project Management	Intellectual Property in Research	Career Planning	
		Data Management			

Students attend sessions appropriate to their stage of the programme. For example, new students attend induction and events providing introductions to research methodologies, while Stage 3 students are provided with training to prepare for thesis submission and examination.

Students may be assigned to discipline specific groups depending on the training topic. For example, all Stage 1 students will be provided with a general introduction to Research Methods, but may be divided into 3 groups for sessions on Qualitative or Quantitative or Mixed Research Methods. Similarly, all Stage 2 students will participate in a session devoted to disseminating research, but may be divided into 2 groups for sessions on Getting Published in 1. The Arts and Social Sciences and 2. Sciences and Engineering.

Group Activities are designed to broaden the skills of research students and include interdisciplinary, teams working on use-inspired, real-world challenges.

2.3.2 Credit Requirements

Modules for each stage are delivered over five 6 hour days (30 hours), with additional online training and self-directed learning (70 hours) and therefore each is approved for 5 ECTS. The minimum ECTS for element 2 is as follows:

For PhD/DMus programmes: 20 ECTs (i.e. completion of Modules 1-4).
For MPhil programme: 10 ECTs (i.e. completion of Modules 1-2).
For PgDip(Res) programme: 5 ECTs (i.e. completion of Module 1).
For Professional Doctorate programmes: see Student Handbook.

Additional training and therefore ECTs may be required for different funded programmes, e.g. SFI CRTs.

Only two attempts at the professional development training are permitted, and non-attendance will be considered as an unsuccessful attempt. A student may only defer attendance at professional development training to the next available session.

A student must have achieved the required ECTS credits for professional development before submitting their thesis for examination.

RPL may be considered and is described in detail in section 1.4.

Professional development training may be replaced, whole or in part, with approved training delivered at other HEIs and initiatives elsewhere, such as the National CRTs or International MSCAs. All replacement training should be at an advanced level and include some form of assessment. The student must show that the learning outcomes for professional development training described in section 2.3.1 above, can be met through the proposed replacement and should complete the application for approval for replacement training (PGR 6 form). The form should be returned to the Graduate Research School Office, well in advance of any training event and application for retrospective approval will not be considered.

2.3.3 Module Boards

The Graduate Research School Office is responsible for organising the module board meetings for the professional development training to consider the assessment results for each student. Module boards will take place in February, July and November each year. Module Boards will be chaired by the Head of the Graduate Research School and all lecturers involved in delivering the training weeks and the Faculty Heads of Research will be in attendance. The Head of the Graduate Research School will issue results to all students using the Student Information system (Banner).

Module Boards for discipline specific modules are organised by the relevant discipline school. The outcomes of these module boards for any graduate research student will be forwarded to the Graduate Research School for inclusion in their student record.

2.3.4 Timetables

Research students are assigned to different blocks, depending on their date of registration. An indicative timetable for programme activities, depending on the registration dates is given below. Dates are subject to change and are confirmed annually online and in the student handbook.

Students Blocks		
Block A	Block B	Block C

Induction & Professional Skills Training Weeks		
Jan Yr 1	May Yr 1	Nov Yr 1

Annual Evaluations		
December Yr 1	May Yr 2	September Yr 2
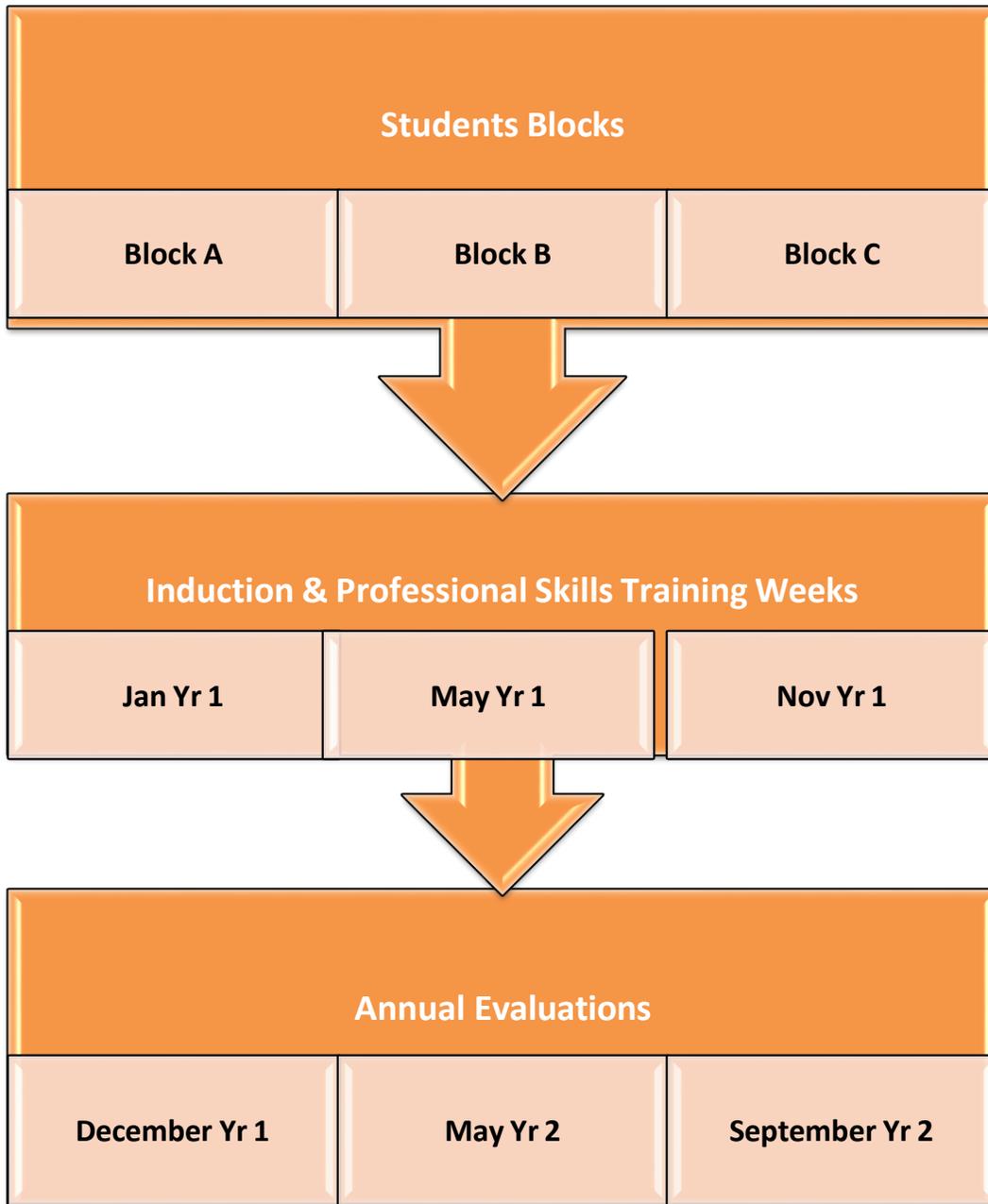
CHAPTER 3
Progressing the Research Work

3.1 Introduction

A student must be registered on the appropriate register to be a graduate research student of TU Dublin, to undertake taught elements, to submit an annual progress report for assessment, and to submit a thesis for examination. Penalties may apply if a student does not submit the thesis within the relevant timeframe. Further details are available in Section 6.3 of this document.

As described earlier, there are two main elements to each our research programmes: Element 1 Original Research and Element 2 Professional Skills Development. Progress in the research work is monitored and recorded on a regular basis by the supervisor(s) and student primarily to ensure success at the annual evaluations, successful completion of taught modules and the successful production of a relevant thesis for examination for the award by the due date. Annual progression boards consider the results of both annual evaluations (element 1) and taught modules (element2) and will decide on the progression of each student to the following year. However, the basis for the award of all research degrees at TU Dublin is successful completion and examination of the research thesis, comprising work of publishable quality. The mapping of progress is a vital element in the timely completion of the research. If the student or supervisor(s) consider that the progress of the research is unsatisfactory at any stage, it is important that this be brought immediately to the attention of the appropriate Head of School.

3.2 Work Arrangements, Meetings and Written Reports

Working hours and arrangements for leave and holidays should be agreed by each individual student with their supervisor(s).

Graduate research students normally take four weeks annual leave. If sick leave is sought for more than two consecutive days, a medical certificate should be returned to the relevant supervisor(s). If leave for a period longer than two consecutive weeks is sought, a leave of absence as described in Section 6.1.1, should be requested in consultation with the supervisor(s).

Students and supervisors should maintain a written record of meetings and progress. It is recommended that a research logbook showing the list of meetings held during the year is used to record the progress of the research work and the broad decisions made at each stage in the work.

3.3 Annual Renewal of Registration

Permission to renew a registration is granted only on the basis that all relevant fees have been paid and that the research project has progressed satisfactorily during the previous year of registration, as determined through TU Dublin's annual evaluation procedures.

Renewal of registration takes place at a time and place notified by the Graduate Research School Office and after payment of the appropriate fee.

3.4 Annual Evaluation

All registered research students must complete the annual evaluation event each year, regardless of the date of their first registration. Re-registration solely for the purpose of visa renewal will not be facilitated in the absence of a successful annual evaluation.

Indicative timetables are provided in Section 2.3.4 of this document but in summary:
- Annual Evaluations for Block A students take place in December.
- Annual Evaluations for Block B students take place in May.
- Annual Evaluations for Block C students take place in September.

Step 1.
Each year, all Stage 1 and Stage 3 students are required to complete a PGR 2B [Student Annual Progress] form and their supervisors are required to complete a PGR 2C [Supervisor Annual Progress] form returning both to the relevant Head of Research. All Stage 1 and Stage 3 students are then required to attend an annual evaluation event.

Step 2.
The relevant Head of Research will co-ordinate the annual evaluation event in each school, during which the graduate student is required to present a seminar on their work to staff, fellow students and other invited guests The relevant Head of Research will notify all registered graduate students and their supervisors of the schedule of seminars and dates.

The assessment panel includes the lead supervisor, Head of relevant School (or nominee) and relevant Head of Research. In cases where the panel does not agree on a recommendation, then the outcome shall be decided by a majority decision.

The panel will assess the quality and progress of the research work to date and the quality and feasibility of the proposed programme of work for the award sought. The panel will convey its decision using form PGR 2D [Assessment of Annual Progress], returning it to the Graduate Research School Office, making one of the following recommendations
1. Research and progress satisfactory, continue;
2. Research and progress unsatisfactory, remedial action needed. Report and present again at a time agreed by the panel;
3. Research and progress unsatisfactory, recommend to transfer to a lower register;
4. Research and progress unsatisfactory, discontinue.
5. Research and progress satisfactory, recommend to transfer from the DMus to the PhD register;
6. Research and progress satisfactory, outstanding level of music performance, recommend to transfer from the PhD to the DMus register;

In the case of decision 2, a student may only have two attempts at the annual evaluation in any given 12 month period. If both attempts are unsuccessful, the outcome for a student on the PgDip register shall be a discontinuation: In the case of a student on the MPhil, PhD or DMus registers, the outcome may, subject to the circumstances of the case, either be a discontinuation or a transfer to a lower register.

In the case of decision 3, a student may have 3 months in addition to the maximum time allowed to complete the thesis for the lower award.

If a student experiences any difficulty in attending the annual evaluation event, they must immediately inform the relevant Head of Research and a supplemental evaluation process may be carried out in September each year to facilitate the process.

3.5 Progression Board Meetings

Indicative timetables are provided in Section 2.3.4 of this document but in summary the relevant Head of Research will organise the:

- Progression Boards for Block A students take place in January.
- Progression Boards for Block B students take place in June.
- Progression Boards for Block C students take place in October.

Progression boards consider the results of both modules and annual evaluations and will decide on the progression of each student to the following year. The Head of the Graduate Research School will prepare the details of module results for each student and will forward to the relevant Head of Research, who will in turn return the decisions for all graduate research students registered in each school in their Faculty, to the Graduate Research School Office.

3.6 Notification of Results

The Graduate Research School Office will issue the results to all students and their supervisors using the Student Information System (Banner)

3.7 Feedback from Student and Supervisors

The annual evaluation process is also used to consider feedback from students and supervisors. Each year, students are required to complete a PGR 2B [Student Annual Progress] form and their supervisors are required to complete a PGR 2C [Supervisor Annual Progress] and both can include any issues and provide an action plan for the coming year. Each Head of Research will compile a report based on the feedback received from students and supervisors using a PGR 2E [Faculty Annual Progress Report] and will forward the report to the Graduate Research School Office.

Annually, all students at TU Dublin also complete the Student Feedback Survey and the reports on research student feedback are considered by the Research Programme Committee

From the Faculty Annual Progress Reports and the reports on research student feedback, the Head of the Graduate Research School will draft the Annual Programme Enhancement report for consideration and approval by the Research Programme Committee.

From the Annual Programme Enhancement report, the Research Programme Committee will draft the Quality Enhancement Plan for consideration and approval by the Graduate Research School Board.

The Chair of the Graduate Research School Board will submit the Quality Enhancement Plan, to the TU Dublin Academic Quality Assurance and Enhancement Committee.

3.8 Transfer from the PgDip Register or Taught Masters to the MPhil Register

At least 3 months prior to the finish date a student, while on the PgDip(Res) or a taught Master's register at TU Dublin, may apply to transfer to the MPhil register. Prior to starting the application process, the supervisor should ensure that sufficient funding is available to complete the project to MPhil.

Step 1.
The supervisor(s) nominates one transfer examiner who must be independent of the project, the supervisor(s) and the graduate student and possess the following attributes

- External to TU Dublin;

- Expertise in the broad area of the research work;
- Currently research active, demonstrated through outputs relevant to the discipline in the previous 4 years;
- An MPhil or equivalent qualification;
- Supervised at least one student to completion at MPhil level and/or examined at MPhil level.

Former postdoctoral researchers and/or former employees of TU Dublin may act as external examiners 3 years after leaving the university. In such cases, the proposed examiner must not be currently supervising any graduate research students in any school at TU Dublin.

Through a process of informal contact, the supervisor(s) should ascertain the willingness of the nominee to act in this capacity, as well as possible dates for the examination.

The student and supervisor(s) are required to complete a PGR3A [Application to Transfer to Higher Register] form which is endorsed and signed by the relevant Head of School.

Step 2.
The completed form is forwarded to the relevant Head of Research, who must table all requests for transfer to higher registers to their Academic Board for approval. Once Academic Board approval has been received, the signed PGR 3A form is sent to the Graduate Research School Office. The Graduate Research School Board considers the nomination on behalf of the University Programme Board who has final approval of such requests having taken account of the views of The Graduate Research School Board.

A transfer examination may not proceed until approval from the Graduate Research School Board has been received.

Step 3.
The relevant Head of Research will co-ordinate the transfer examination including all arrangements for the examiner, venue and documentation.

At least 5 weeks prior to the proposed transfer examination, the student should submit to their Head of Research an electronic copy of their transfer report which must contain
- A comprehensive description of the research work carried out to date;
- A detailed written plan of the future research including the rationale and timeframes.

The examiner may request a hard copy of the transfer report. In such cases the Head of Research will contact the student requesting 2 hard copies, and the Head of Research will arrange for delivery to the Chairperson and the Examiner.

Transfer reports must be entirely the work of the students and the use of paid editing and/or professional proof reading services are not permitted in any circumstances. Students are advised to use the format and presentation as recommended for final theses in section 4.4. The report should consist of two parts. Part 1 should detail the work completed, including any training, prior to the transfer, while part 2 should detail the proposed programme of work for the higher award, including any training requirements. A short report (50-100 pages based on discipline norms) is recommended.

In addition, students transferring from a taught Masters programme must include and sign the following declaration in their transfer report.

> I certify that this report which I now submit for examination for transfer to the MPhil register is entirely my own work and has not been taken from the work of others, save and to the extent that such work has been cited and acknowledged within the text of my work.
>
> This report was prepared according to the regulations for graduate study by research of Technological University Dublin and has not been submitted in whole or in part for another award in any third level institution.
>
> The work reported on in this thesis conforms to the principles and requirements of the TU Dublin's guidelines for ethics in research.
>
> Signature _____ Date _____
> Candidate

The Head of Research will forward all documentation to the examiner and will notify the examiner, student and their supervisors of the venue and schedule. Normally all transfer examinations take place on campus. The External Examiner may, however, request to hold the examination online, using the University's approved system. In such cases, all other participants, including the Chairperson, the student and the supervisor(s), must be present at the on-campus venue.

Step 4.
The student will undertake an oral examination in private session which will be solely attended by the transfer examiner, the supervisor(s) and the Head of Research (or nominee) who will act as chairperson. The Chairperson will ensure that TU Dublin's regulations are followed and that the formal report on the examination process, form PGR 3B [Report on Transfer Examination] is completed together with recommendations and forwarded to the Graduate Research School Office.

Normally the examination will commence with a brief 15 minute (max) presentation by the student. The examiner will assess the quality and progress of the research work to date and the quality and feasibility of the proposed programme of work for the award sought, making one of the following recommendations
1. Proposed Research and progress suitable for transfer to a higher register, transfer;
2. Proposed research and/or progress not suitable, remedial action and report and present again at a time agreed;
3. Proposed research and/or progress not suitable, cannot transfer to a higher register.

In the case of decision 2 a student may only have one further attempt to pass the examination. If both attempts are unsuccessful the outcome is cannot transfer to the higher register. The student should prepare a thesis for examination for the award of PgDip(Res) and will have 3 months from the date of the second transfer exam to submit their thesis.

In the case of decision 3 a student will have 3 months from the date of the transfer exam to submit their thesis for examination for the award of PgDip(Res).

The Chairperson will verbally notify the student and their supervisor of the recommendation of the examination panel (which is subject to approval by the Graduate Research School Board.) immediately after the examination.

The Graduate Research School Board shall then consider the recommendation taking account of the views of the examination panel and the Graduate Research School Office will provide written notification of the decision to the student.

Where transfer is refused, the Graduate Research School Office will provide a copy of the external examiner's report to the Student, Supervisor(s) and Head of School.

Granting permission to transfer is conditional on the work carried out for PgDip being incorporated into the MPhil programme of work and no thesis having already been submitted for the award of PgDip.

3.9 Transfer from the MPhil Register to the PhD or DMus Register

While on the MPhil register at least 3 months prior to the finish date a student may transfer to the PhD or DMus register by undertaking a similar examination, to the transfer examination outlined above in section 3.8. Students wishing to transfer to the DMus register must, in addition, demonstrate an outstanding level of music performance by audition. Prior to starting the application process, the supervisor should ensure that sufficient funding is available to complete the project to PhD or DMus.

Step 1.
The supervisor nominates one transfer examiner who must be external to TU Dublin and independent of the project, the supervisor(s) and the graduate student and possess the following attributes
- Expertise in the broad area of the research work;
- Currently research active, demonstrated through outputs relevant to the discipline in the previous 4 years;
- A PhD or equivalent qualification;
- Supervised at least one student to completion at PhD level and/or examined at PhD level.

Former postdoctoral researchers and/or former employees of TU Dublin may act as external examiners 3 years after leaving the University. In such cases, the proposed examiner must not be currently supervising any graduate research students in any school at TU Dublin.

Through a process of informal contact, the supervisor(s) should ascertain the willingness of the nominee to act in this capacity, as well as possible dates for the examination.

The student and supervisor(s) are required to complete form PGR3A [Application to Transfer to Higher Register] which is endorsed and signed by the relevant Head of School.

Step 2.
The completed form is forwarded to the relevant Head of Research who will table all requests for transfer to higher registers to their Academic Board for approval. Once Academic Board approval has been received, the signed PGR 3A form is sent to the Graduate Research School Office. The Graduate Research School Board considers the nomination on behalf of the University Programme Board who has final approval of such requests having taken account of the views of The Graduate Research School Board.

A transfer examination may not proceed until approval from the Graduate Research School Board has been received.

Step 3.
The relevant Head of Research will co-ordinate the transfer examination including all arrangements for the examiner, venue and documentation.

At least 5 weeks prior to the proposed transfer examination, the student should submit to their Head of Research an electronic copy of their transfer report which must contain
- A comprehensive description of the research work carried out to date;
- A detailed written plan of the future research including the rationale and timeframes.

The examiner may request a hard copy of the transfer report. In such cases the Head of Research will contact the student requesting 2 hard copies, and the Head of Research will arrange for delivery to the Chairperson and the Examiner.

Transfer reports must be entirely the work of the students and the use of paid editing and/or professional proof reading services are not permitted in any circumstances. Students are advised to use the format and presentation as recommended for final theses in section 4.4. The report should consist of two parts. Part 1 should detail the work, including any training, completed prior to the transfer, while part 2 should detail the proposed programme of work for the higher award, including training requirements. A short report (50-100 pages based on discipline norms) is recommended.

The Head of Research will forward all documentation to the examiner and will notify the examiner, student and their supervisors of the venue and schedule. Normally all transfer examinations take place on campus. The External Examiner may, however, request to hold the examination online, using the University's approved system. In such cases, all other participants, including the Chairperson, the student and the supervisor(s), must be present at the on-campus venue.

Step 4.
The student will undertake an oral examination in private session which will be solely attended by the transfer examiner, the supervisor(s) and the Head of Research (or nominee) who will act as a chairperson. The Chairperson will ensure that TU Dublin's regulations are followed and that the formal report on the examination process, form PGR 3B [Report on Transfer Examination] is completed together with recommendations and forwarded to the Graduate Research School Office.

Normally the examination will commence with a brief 15 minute (max) presentation by the student. The examiner will assess the quality and progress of the research work to date and the quality and feasibility of the proposed programme of work for the award sought, making one of the following recommendations
1. Proposed Research and progress suitable for transfer to a higher register, transfer;
2. Proposed research and/or progress not suitable, remedial action and report and present again at a time agreed;
3. Proposed research and/or progress not suitable, cannot transfer to a higher register.

In the case of decision 2 a student may only have one further attempt to pass the examination. If both attempts are unsuccessful the outcome is cannot transfer to the higher register.' The student should prepare a thesis for examination for the award of MPhil and will have 3 months from the date of the second transfer exam to submit their thesis.

In the case of decision 3 a student will have 3 months from the date of the transfer exam to submit their thesis for examination for the award of MPhil.

The Chairperson will, immediately after the examination, verbally notify the student and their supervisor of the recommendation of the examination panel (which is subject to approval by the Graduate Research School Board.

The Graduate Research School Board shall then consider the recommendation taking account of the views of the examination panel and the Graduate Research School Office will provide written notification of the decision to the student.

Where transfer is refused, the Graduate Research School Office will provide a copy of the external examiners report to the Student, Supervisor(s) and Head of School.

Granting permission to transfer is conditional on the work carried out for MPhil being incorporated into the PhD programme of work and no thesis having already been submitted for the award of MPhil.

3.10 Confirmation of PhD and Professional Doctorate Registration

Normally Level 10 research students must complete a confirmation examination halfway through their research component, i.e. Element 1.

After being registered for between 15 and 24 months on the full time register or for between 30 and 48 months on the part time register, direct entry PhD students need to undertake a similar examination, to the transfer examination outlined above in sections 3.8/3.9

Step 1.
The supervisor nominates one confirmation examiner who must be external to TU Dublin and independent of the project, the supervisor(s) and the graduate student and possess the following attributes
- Expertise in the broad area of the research work;
- Currently research active, demonstrated through outputs relevant to the discipline in the previous 4 years;
- A PhD or equivalent qualification;
- Supervised at least one student to completion at PhD level or equivalent and/or examined at PhD level or equivalent.

Former postdoctoral researchers and/or former employees of TU Dublin may act as external examiners 3 years after leaving the University. In such cases, the proposed examiner must not be currently supervising any graduate research students in any school at TU Dublin.

Through a process of informal contact, the supervisor(s) should ascertain the willingness of the nominee to act in this capacity, as well as possible dates for the examination.

The student and supervisor(s) are required to complete form PGR3C [Application for Confirmation on the PhD/DMus register] which is endorsed and signed by the relevant Head of School.

Step 2.
The completed form is forwarded to the relevant Head of Research who must table all requests for confirmation examination to their Academic Board for approval. Once Academic Board approval has been received, the signed PGR 3C form is sent to the Graduate Research School Office. The Graduate Research School Board considers the nomination on behalf of the University Programme Board who has final approval of such requests having taken account of the views of The Graduate Research School Board.

A confirmation examination may not proceed until approval from the Graduate Research School Board has been received.

Step 3.
The relevant Head of Research will co-ordinate the confirmation examination including all arrangements

for the examiner, venue and documentation.

At least 5 weeks prior to the proposed confirmation examination the student should submit to their Head of Research an electronic copy of their confirmation report which must contain
- A comprehensive description of the research work carried out to date;
- A detailed written plan of the future research including the rationale and timeframes.

The examiner may request a hard copy of the confirmation report. In such cases the Head of Research will contact the student requesting 2 hard copies, and the Head of Research will arrange for delivery to the Chairperson and the Examiner.

Confirmation reports must be entirely the work of the students and the use of paid editing and/or professional proof reading services are not permitted in any circumstances. Students are advised to use the format and presentation as recommended for final theses in section 4.4. The report should consist of two parts. Part 1 should detail the work completed, including training, prior to the confirmation examination, while part 2 should detail the proposed programme of work for the PhD/DMus award, including any training requirements. A short report (50-100 pages based on discipline norms) is recommended.

The Head of Research will forward all documentation to the examiner and will notify the examiner, student and their supervisors of the venue and schedule. Normally all confirmation examinations take place on campus. The External Examiner may, however, request to hold the examination online, using the University's approved system. In such cases, all other participants, including the Chairperson, the student and the supervisor(s), must be present at the on-campus venue.

Step 4.
The student will undertake an oral examination in private session which will be solely attended by the confirmation examiner, the supervisor(s) and the relevant Head of Research (or nominee) who will act as a chairperson. The Chairperson will ensure that TU Dublin's regulations are followed and that the formal report on the examination process, form PGR 3D [Report on Confirmation Examination], is completed together with recommendations and forwarded to the Graduate Research School Office.

Normally the examination will commence with a brief 15 minute (max) presentation by the student. The examiner will assess the quality and progress of the research work to date and the quality and feasibility of the proposed programme of work for the award sought, making one of the following recommendations
1. Proposed research and progress suitable for candidate to remain on the higher register, confirm
2. Proposed research and/or progress not suitable, remedial action and report and present again at a time agreed;
3. Proposed research and/or progress not suitable, transfer to a lower register.

In the case of decision 2 a student may only have one further attempt to pass the examination. If both attempts are unsuccessful the outcome is transfer to the lower register. ' The student should prepare a thesis for examination for the award of MPhil and will have 3 months from the date of the second confirmation exam to submit their thesis.
In the case of decision 3 a student will have 3 months from the date of the confirmation exam to submit their thesis for examination for the MPhil award

The Chairperson will verbally notify the student and their supervisor of the recommendation of the examination panel (which is subject to approval by the Graduate Research School Board) immediately after the examination.

The Graduate Research School Board shall then consider the recommendation taking account of the views of the examination panel and the Graduate Research School Office will provide written notification of the decision to the student.

Where confirmation is refused, the Graduate Research School Office will provide a copy of the external examiners report to the Student, Supervisor(s) and Head of School.

3.11 Confirmation of DMus Registration

Normally Level 10 research students must complete a confirmation examination halfway through their research component, i.e. Element 1.

After being registered for between 15 and 24 months on the full time register or for between 30 and 48 months on the part time register, direct entry DMus students need to undertake a similar examination, to the confirmation examination outlined above in sections 3.10

Step 1.
The supervisor nominates one confirmation examiner who must be external to TU Dublin and independent of the project, the supervisor(s) and the graduate student and possess the following attributes
- Expertise in the broad area of the research work;
- Currently research active, demonstrated through outputs relevant to the discipline in the previous 4 years;
- A DMus or equivalent qualification;
- Supervised at least one student to completion at PhD/DMus level and/or examined at PhD/DMus level.

Former postdoctoral researchers and/or former employees of TU Dublin may act as external examiners 3 years after leaving the University. In such cases, the proposed examiner must not be currently supervising any graduate research students in any school at TU Dublin.

Through a process of informal contact, the supervisor(s) should ascertain the willingness of the nominee to act in this capacity, as well as possible dates for the examination.

The student and supervisor(s) are required to complete form PGR3C [Application for Confirmation on the PhD/DMus register] which is endorsed and signed by the relevant Head of School.

Step 2.
The completed form is forwarded to the relevant Head of Research, who must table all requests for confirmation examination to their Academic Board for approval. Once Academic Board approval has been received, the signed PGR 3C form is sent to the Graduate Research School Office. The Graduate Research School Board considers the nomination on behalf of the University Programme Board, who has final approval of such requests having taken account of the views of The Graduate Research School Board.

A confirmation examination may not proceed until approval from the Graduate Research School Board has been received.

Step 3.
The relevant Head of Research will co-ordinate the confirmation examination including all arrangements for the examiner, venue and documentation.

At least 5 weeks prior to the proposed confirmation examination the student should submit to their Head

of Research an electronic copy of their confirmation report which must contain
- A comprehensive description of the research work carried out to date;
- A detailed written plan of the future research including the rationale and timeframes.

The examiner may request a hard copy of the confirmation report. In such cases the Head of Research will contact the student requesting 2 hard copies, and the Head of Research will arrange for delivery to the Chairperson and the Examiner.

Confirmation reports must be entirely the work of the students and the use of paid editing and/or professional proof reading services are not permitted in any circumstances. Students are advised to use the format and presentation as recommended for final theses in section 4.4. The report should consist of two parts. Part 1 should detail the work completed, including training, prior to the confirmation examination, while part 2 should detail the proposed programme of work for the PhD/DMus award, including any training requirements. A short report (50-100 pages based on discipline norms) is recommended.

The Head of Research will forward all documentation to the examiner and will notify the examiner, student and their supervisors of the venue and schedule. Normally all confirmation examinations take place on campus. The External Examiner may, however, request to hold the examination online, using the University's approved system. In such cases, all other participants, including the Chairperson, the student and the supervisor(s), must be present at the on-campus venue.

Step 4.
The student will undertake a live public performance, not exceeding 60 minutes in duration and the audience will include the confirmation examiner, the supervisor(s) and the relevant Head of Research (or nominee).

Following the performance, the student will undertake an oral examination in private session which will be solely attended by the confirmation examiner, the supervisor(s) and the relevant Head of Research (or nominee) who will act as a chairperson. The Chairperson will ensure that TU Dublin's regulations are followed and that the formal report on the examination process, form PGR 3D [Report on Confirmation Examination], is completed together with recommendations and forwarded to the Graduate Research School Office.

Normally the examination will commence with a brief 15 minute (max) presentation by the student. The examiner will assess the quality and progress of the research work to date and the quality and feasibility of the proposed programme of work for the award sought, making one of the following recommendations
1. Proposed research and progress suitable for candidate to remain on the higher register, confirm
2. Proposed research and/or progress not suitable, remedial action and report and present again at a time agreed;
3. Proposed research and/or progress not suitable, transfer to a lower register.

In the case of decision 2 a student may only have one further attempt to pass the examination. If both attempts are unsuccessful the outcome is transfer to the lower register. The student should prepare a thesis for examination for the award of MPhil and will have 3 months from the date of the second confirmation exam to submit their thesis.

In the case of decision 3 a student will have 3 months from the date of the confirmation exam to submit their thesis for examination for the MPhil award

The Chairperson will verbally notify the student and their supervisor of the recommendation of the examination panel (which is subject to approval by the Graduate Research School Board) immediately after the examination.
The Graduate Research School Board shall then consider the recommendation taking account of the views of the examination panel and the Graduate Research School Office will provide written notification of the decision to the student.

Where confirmation is refused, the Graduate Research School Office will provide a copy of the external examiners report to the Student, Supervisor(s) and Head of School.

3.12 Recheck, Remark and Appeals Procedures

The procedures in relation to a recheck or remark of a module assessment are given in Appendix 2. An appeal against a decision in respect of a withdrawal, transfer, annual evaluation or confirmation of PhD/DMus registration shall be made in accordance with the appeal procedure set out in Appendix 2

CHAPTER 4

Examinations and Award Criteria

4.1 Introduction

Research degrees at TU Dublin are awarded when a student has successfully completed both elements of their programme ie Element 1, Original Research and Element 2, Professional Skills Development. In all cases, Element 1 is assessed on the basis of a submitted thesis and a *viva voce* examination is also required for award of PhD, DMus and MPhil. Element 2 is described in detail in Chapter 2 and the minimum ECTS for element 2 are given below.

4.2 Programme Duration and Award Criteria

4.2.1 PhD Awards

The degree of PhD is awarded only when a student has successfully completed their research programme and when the work conducted has been assessed on the basis of a submitted thesis and *viva voce* examination.

In addition, a full-time PhD graduate research student, over the course of the 4 year programme and a part-time PhD graduate research student, over the course of the 6 year programme, must accumulate 20 ECTs by completion of RI and 3 training weeks/modules.

4.2.2 DMus Awards

The degree of DMus is awarded only when a student has successfully completed their research programme and when the work conducted has been assessed on the basis of a submitted thesis and *viva voce* examination.

In addition, a full-time DMus graduate research student, over the course of the 4 year programme and a part-time DMus graduate research student, over the course of the 6 year programme, must accumulate 20 ECTs by completion of RI and 3 training weeks/modules.

4.2.3 Professional Doctorate Awards

A Professional Doctorate degree is awarded only when a student has successfully completed their research programme and when the work conducted has been assessed on the basis of a submitted thesis and viva voce examination.

In addition, a Professional Doctorate graduate research student, over the course must complete the required ECTS in Year 1 and 2 for their award. The requirements for each Professional Doctorate degree are detailed in the Student Handbook. All Professional Doctorate students must complete the Research Integrity (RI) module.

4.2.4 MPhil Awards

The degree of MPhil is awarded only when a student has successfully completed their research programme and when the work conducted has been assessed on the basis of a submitted thesis and *viva voce* examination.

In addition, a full-time MPhil graduate research student, over the course of the 2 year programme, and a

part-time MPhil graduate research student, over the course of the 3 year programme, must accumulate 10 ECTs by completion of RI and 1 training week/module.

4.2.5 PgDip(Res) Awards

The degree of PgDip(Res) is awarded only when a student has successfully completed their research programme and when the work conducted has been assessed on the basis of a submitted thesis. For all candidates for the PgDip (Res) award, the examiners normally examine the thesis only. After the PgDip (Res) thesis has been examined the examiners may decide that a *viva voce* examination is required.

In addition, a full-time PgDip (Res) graduate research student, over the course of the 1 year programme, and a part-time PgDip (Res) graduate research student, over the course of the 2 year programme, must accumulate 5 ECTs by completion of RI.

4.3 Thesis Characteristics

TU Dublin requires that a thesis be submitted in English or Irish for examination in written format, with supporting materials as appropriate.

The thesis presented for examination is required to be the student's own work and must not have been previously submitted, either in whole or in part, for a separate award from TU Dublin or any third level institution. Any results, insights, conclusions, design, etc. of others that are used in the work must be properly referenced and credited according to the general practices of the discipline concerned. If the work carried out is part of a collaborative project, the thesis should clearly show the candidate's specific contribution and the extent of collaboration involved. Unacceptable practices such as plagiarism or fabrication of results will, following enquiry, usually result in retraction of an award or immediate disqualification and expulsion.

The finish date is determined according to section 4.2 above and is the maximum duration allowed starting from the date of first registration. The official date of submission of a thesis is the date the thesis is received by the Graduate Research School Office. The student must be properly registered and all fees paid at the time of submission.

4.3.1 Characteristics Expected of a Thesis for the Award of PgDip (Res) (Level 9 NFQ)

A PgDip (Res) thesis is a comprehensive and coherent account of the work done, including the context and background of the work, methodology used and a critical appreciation of the results of the work and their relevance to the field. It is normally a substantial written report and may include other elements such as models, designs, artistic compositions, audio-visual or multimedia materials etc., depending on the discipline and nature of the project.

- The thesis should demonstrate that the student has gained a range of the following skills:
- An understanding of the theory and methodology in the discipline;
- Knowledge of specialisation in the field;
- Specialist skills and their application in research and/or advanced practice in the field;
- Planning ability;
- Implementation of complex processes relating to the field;
- Problem-solving skills.

4.3.2 Characteristics Expected of a Thesis for the Award of MPhil (Level 9 NFQ)

An MPhil thesis is normally a substantial written report but may encompass models, designs, artistic compositions, audio visual and multimedia materials etc., depending on the discipline and nature of the project. The thesis should demonstrate that the student has gained a range of the following skills:

- A systematic understanding of knowledge, at, or informed by, the forefront of a field of learning.
- A critical awareness of current problems and/or new insights, generally informed by the forefront of a field of learning.
- A range of standard and specialised research or equivalent tools and techniques of enquiry.
- An ability to select from complex and advanced skills across a field of learning; develop new skills to a high level, including novel and emerging techniques.
- Skills to act in a wide and often unpredictable variety of professional levels and ill-defined contexts.
- Skills to take significant responsibility for the work of individuals and groups; lead and initiate activity.
- An ability to learn to self-evaluate and take responsibility for continuing academic/professional development.
- Skills to scrutinise and reflect on social norms and relationships and act to change them.

4.3.3 Characteristics of a thesis for the PhD (Level 10 NFQ)

A PhD thesis is normally a substantial written report but may also encompass models, designs, artistic compositions, audio-visual and multimedia materials etc., depending on the discipline and nature of the project. The thesis should demonstrate that the student has gained a range of the following skills:

- A systematic acquisition and understanding of a substantial body of knowledge which is at the forefront of a field of learning.
- The creation and interpretation of new knowledge, through original research, or other advanced holarship, of a quality to satisfy review by peers.
- A significant range of the principal skills, techniques, tools, practices and/or materials which are associated with a field of learning; develop new skills, techniques, tools, practices and/or materials.
- Skills to respond to abstract problems that expand and redefine existing procedural knowledge.
- Personal responsibility and largely autonomous initiative in complex and unpredictable situations, in professional or equivalent contexts.
- An ability to communicate results of research and innovation to peers; engage in critical dialogue; lead and originate complex social processes.
- Skills to critique the broader implications of applying knowledge to particular contexts.
- An ability to scrutinise and reflect on social norms and relationships and lead action to change.

4.3.4 Characteristics of a thesis for the DMus (Level 10 NFQ)

The Doctor of Music (Performance) programme is designed for outstanding performers, who wish to address doctoral-level questions relating to their performance. A DMus (Performance) thesis is performance-led, integrating performance and other research outputs, including the substantial written report, scholarly editions, catalogues, artistic compositions, audio-visual and multi-media materials etc depending on the nature of the project to produce original research in the field of music performance. The thesis should demonstrate that the student has gained a range of the following skills:

- A systematic acquisition and understanding of a substantial and challenging repertoire which is at the forefront of the principal instrumental/vocal field.
- The creation and interpretation of new knowledge, through original research, or other advanced scholarship, of a quality to satisfy review by peers.
- A significant range of music performance experience, new skills, techniques, and practices in music

performance.
- Skills to respond to abstract problems that expand and redefine existing procedural knowledge.
- Personal responsibility and largely autonomous initiative in complex and unpredictable situations, in professional or equivalent contexts.
- An ability to communicate results of research and innovation to peers; engage in critical dialogue; lead and originate complex social processes.
- Skills to critique the broader implications of applying knowledge to particular contexts.
- An ability to scrutinise and reflect on social norms and relationships and lead action to change.

4.3.5 Characteristics of a thesis for the Professional Doctorate (Level 10 NFQ)

A Professional Doctorate thesis is normally a substantial written report but may also encompass models, designs, artistic compositions, audio-visual and multimedia materials etc., depending on the discipline and nature of the project. The thesis should demonstrate that the student has gained a range of the following skills:
- A systematic acquisition and understanding of a substantial body of knowledge which is at the forefront of professional practice and a field of learning.
- The creation and interpretation of new knowledge, through original research, or other advanced scholarship, of a quality to satisfy review by peers.
- A significant range of the principal skills, techniques, tools, practices and/or materials which are associated with professional practice and a field of learning; develop new skills, techniques, tools, practices and/or materials.
- Skills to respond to abstract problems that expand and redefine existing procedural knowledge.
- Personal responsibility and largely autonomous initiative in complex and unpredictable situations, in professional or equivalent contexts.
- An ability to communicate results of research and innovation to peers; engage in critical dialogue; lead and originate complex social processes.
- Skills to critique the broader implications of applying knowledge to particular contexts.
- An ability to scrutinise and reflect on social norms and relationships and lead action to change.

4.4 Recommended format, length and presentation

The body of the thesis should be printed single-sided on good quality white A4 size paper. Letter quality, Times New Roman, 12 point, black type should be used with double line spacing. On each page there should be a left-hand margin of at least 40 mm and a right-hand margin of at least 20 mm. All pages should be numbered consecutively throughout the text and appendices, starting at the table of contents, with the page numbers central at the bottom of each page, at least 10 mm above the edge of the page.

A PhD or DMus thesis should not exceed 600 pages or 100,000 words, a Professional Doctorate should not exceed 450 pages or 75,000 words, an MPhil thesis should not exceed 300 pages or 50,000 words and a PgDip thesis should not exceed 150 pages or 25,000 words including all references and appendices. Students should refer to their supervisor(s) for further clarification and the norms in the discipline area.

4.4.1 Thesis Cover

All copies of the thesis are submitted in electronic format. The title page, in Times New Roman, must have the following inscription:
- The full title of the thesis (in 20 point type) together with any subtitles;
- The name of the candidate;
- The award for which the thesis is submitted (PgDip (Res), MPhil, PhD, DMus);
- The full denomination of Technological University Dublin;
- The year of submission;

4.4.2 Thesis Format

The structure of a thesis will depend on the discipline area and supervisors will advise students on a recommended structure.

The elements of all theses should be set out in the following order:
- Title page
- Abstract
- Declaration Page
- Acknowledgements (if any)
- Abbreviations List (if any)
- Table of Contents
- Table of Illustrations, Figures, etc.
- Chapters in Sequence
- References/Bibliography (if not given at the end of each chapter)
- Appendices (if any)
- List of Publications (if any)

4.4.2.1 Title page
The title page should display the:
- Full title of the thesis, with any subtitles, in Times New Roman 20 point type in black text;
- Name and qualifications of the candidate;
- Award for which the thesis is submitted (PgDip (Res), MPhil, or PhD, DMus);
- The full denomination of Technological University Dublin;
- Name(s) of the supervisor(s);
- School to which the candidate is principally affiliated;

- Month and year of submission.

4.4.2.2 Abstract

The thesis should include a single-page abstract of the work.

4.4.2.3 Declaration Page

A thesis must be entirely the work of the student and the use of paid editing and/or professional proof reading services are not permitted in any circumstances. A page containing the following declaration, appropriately completed is required. If this declaration is not completed and signed then the thesis will not be examined:

> I certify that this thesis which I now submit for examination for the award of _____, is entirely my own work and has not been taken from the work of others, save and to the extent that such work has been cited and acknowledged within the text of my work.
>
> This thesis was prepared according to the regulations for graduate study by research of Technological University Dublin and has not been submitted in whole or in part for another award in any other third level institution.
>
> The work reported on in this thesis conforms to the principles and requirements of the TU Dublin's guidelines for ethics in research.
>
> *(The following sentence may be **deleted** if access to the thesis is restricted according to section 4.8)*
> TU Dublin has permission to keep, lend or copy this thesis in whole or in part, on condition that any such use of the material of the thesis be duly acknowledged.
>
> Signature _____ Date _____
> Candidate

4.4.2.4 Acknowledgements (if any)

Personal acknowledgements may be expressed.

4.4.2.5 Abbreviations List (if any)

A list of abbreviations and symbols used in the thesis should be provided, together with their meanings, definitions and/or the terms they represent.

4.4.2.6 Table of Contents

There should be a table of contents including the number and title of each chapter of the numerically referenced chapter subsection headings, references and appendices with corresponding page numbers.

4.4.2.7 Table of Illustrations, Figures, etc.

All illustrations, photographs, figures, tables, graphs and/or diagrams should be provided with reference numbers and legends.

4.4.2.8 Chapters in Sequence

The main headings for the chapters should be given in capital letters. Subsidiary headings should use initial capital letters only. Footnotes in each chapter should be numbered consecutively.

4.4.2.9 References/Bibliography

References should be thorough and comprehensive and a single form of referencing should be used throughout the thesis. The format used should accord with the norms and accepted standards for the discipline.

References may be included at the end of each chapter or all references can be given in a dedicated chapter at the end of the main body of the text and before any appendices

4.4.2.10 Appendices (if any)

Appendices may consist of supporting material, lists, documents, commentaries, tables or other evidence, which, if included in the main text, would have interrupted the flow of the narrative.

4.4.2.11 List of Publications (if any)

A list of the student's publications relating to or arising from the research work should be included.

4.4.3 Alternative Thesis Format

A thesis can be submitted in the format of peer-reviewed publications in internationally-recognised journals and the student must have a substantial contribution to each publication. Normally in such cases the layout would be as follows:
- Initial pages as per sections 4.4.2.1 to 4.4.2.7 above;
- The first chapter giving the background to the work, containing a literature review, discussion of current state-of-the-art and the aims and objectives of the present work etc.;
- If the peer-reviewed publications presented later in the thesis, give summary details of the methodologies used, then a second chapter can included to give full details of all methods used in the research,;
- A minimum of 4 peer-reviewed publications in internationally-recognised journals which have been published or accepted for publication. These should be presented in the format recommended in section 4.4 above in separate chapters for each publication;
- The final chapter presenting the conclusions reached and containing a critical discussion of the publications presented in the preceding chapters and how the work advances knowledge beyond the current state-of-the-art.

A thesis can also be presented in the format of a mixture of, for example, two publications and a number of regular chapters. In all cases, the thesis must communicate background, methodology and results of the research in a coherent and logical fashion.

For artefact-based submissions, 'peer review' can include endorsement by the head of a museum, gallery and similar cultural institution that publicly curate, exhibit and disseminate creative practice.

4.4.4 Unbound Material

If material that constitutes part of the thesis cannot be conveniently submitted in bound form, the unbound material and its packaging shall both be marked with the author's name, initials and award for which the work is submitted, in such a way that it can readily be linked to the thesis. Reference to any such unbound material shall be made in the thesis.

4.5 Submitted Copies - The Property of TU Dublin

All copies of the thesis and all accompanying materials finally submitted become the property of TU Dublin.

4.6 Publication of Material from Thesis

Publication of material arising from the research work in reputable journals, at conferences and elsewhere, is a key aim of graduate research. Students are encouraged to publish new and unique material even in advance of the submission of the thesis. All publications should be lodged in the University repository Arrow Students should discuss publications with their supervisor(s).

4.7 Intellectual Property/Copyright

The Intellectual Property policy of TU Dublin is available at: https://www.tudublin.ie/research/innovation-and-enterprise/tu-dublin-innovation/staff--students/intellectual-property/

All issues arising from protection of intellectual property and commercialisation of intellectual properties should be dealt with by the Technology Transfer Office and should be discussed with the supervisor(s).

4.8 Declaration Allowing Access to Thesis

At the time of submission, the student is required to sign a declaration allowing academic access to the thesis. If sufficient reason exists by way of commercial or other sensitivity of information contained within the thesis, the student or supervisor may request restricted access. This should be informed in writing to the Graduate Research School Office.

4.9 Thesis Submission and Examination

Step 1: Appointment of Examiners
At least 3 months prior to the finish date, the student and supervisor(s) are required to complete the PGR 4A [Nomination of Examiners] form which is endorsed and signed by the relevant Head of School. The completed form is forwarded to the relevant Head of Research, who must table all examiner nominations requests to their Academic Board for approval. Once Academic Board approval has been received, the signed PGR 4A form is sent to the Graduate Research School Office. The Graduate Research School Board on behalf of the University Programme Board has final approval of such requests.

The External Examiner
One person of suitable academic and/or professional standing, independent of the research project, the supervisor(s) and/or the graduate student, is nominated to be external examiner by the lead supervisor. The external examiner should normally:

- Be a recognised and qualified expert in the discipline;
- Show current research activity, demonstrated through outputs relevant to the discipline in the previous 4 years;
- Have a qualification at least of the level sought by the candidate;
- Have experience of successfully supervising graduate research students to a postgraduate award of this level;
- Have experience of examining at this level.

The same external examiner cannot be used by a supervisor for any two consecutive student candidates or in any period of 12 consecutive months. This also applies to all individual members of a team of supervisors. The external examiner cannot have acted as the transfer or confirmation examiner for the

candidate. For an examination for a PhD based on prior publications, the external examiner cannot have acted as the external reviewer for the initial application.

Former postdoctoral researchers and/or employees of TU Dublin may act as external examiners 3 years after leaving the University. In such cases, the proposed examiner must not be currently supervising any graduate research students in any school at TU Dublin.

If the external examiner does not meet all the criteria specified, a letter of explanation defending the proposed appointment should be provided, together with the examiners curriculum vitae and evidence of track record, for consideration of the Academic Board and the Graduate Research School Board. In such cases, the experience and qualifications of the internal examiner must complement those of the proposed external examiner. Only in exceptional cases will an external examiner who does not meet all of the above criteria be appointed.

External Examiners shall declare any interest, relationship or other circumstance which might constitute a conflict of interest, or which might be seen as inappropriate for the role of External Examiner. Failure to do so could lead to retraction of an award if a conflict of interest comes to light at a later date.

Through a process of informal contact, the supervisor(s) should ascertain the willingness of the nominee to act in this capacity, as well as their availability within an approximate six-week period after the intended submission date of the thesis.

The Internal Examiner
A member of the staff of TU Dublin, independent of the research project, supervisor(s) and/or the graduate student, is nominated by the supervisor(s) to be internal examiner. The internal examiner must
- Have a qualification at least of the level being sought by the candidate;
- Have knowledge and research ability in the discipline.

In cases where the external examiner does not meet all the criteria specified in section 4.9, the experience and qualifications of the internal examiner must complement those of the proposed external examiner.

In addition, when a student submits a thesis in Irish, both examiners must be suitably expert in Irish to examine at the level of the award.

The supervisor(s) should ascertain the willingness of the nominee to act in this capacity, as well as their availability within an approximate six-week period after the intended submission date of the thesis.

If a suitable internal examiner is not available, then a 2nd external examiner may be appointed. When the student is also a member of staff of TU Dublin, a 2nd external examiner must always be appointed in place of the internal examiner. In both of these cases, the 2nd external examiner must, at a minimum, meet the criteria described above for an internal examiner and it must be clearly indicated on the PGR 4A form which external examiner is acting in the role of internal examiner.

Step 2: Submission of the Thesis
Each student is responsible for the quality of their own work. The thesis must be entirely the work of the student and the use of paid editing and/or professional proof reading services are not permitted in any circumstances. However, students are advised to heed the advice of the supervision team prior to submission. In the event of any member of the supervisory team not considering a dissertation to be ready for submission, a student has the right to ignore this advice and submit. This course of action is strongly

discouraged. Conversely, the agreement of the supervisor(s) and Head of School to submit the thesis is no guarantee of a successful outcome to the examination process.

At least six weeks prior to the proposed date of the examination, the student should submit an electronic copy of their thesis and the completed PGR 4B [Confirmation of Suitability of Thesis] form, to the Graduate Research School Office. When completing form PGR 4B possible dates for the *viva voce* examination should be suggested.

In order to facilitate delivery and examination of the thesis by the examiners, an examination should not take place within the five week period following submission of the thesis.

The thesis and all other documentation will only be available in electronic format and the Graduate Research School Office will ensure that all material is sent to examiners within the first week following submission.

The internal and external examiners will endeavour to complete the examination of the work within four weeks, or earlier, of receiving the thesis. 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 *viva voce.*

Discussion of the thesis between examiners and the student and supervisors is not acceptable at any time prior to the examination. The examiners can of course discuss the thesis between themselves.

If a student elects to submit their thesis without their supervisors' consent, and if examiners have not already been nominated, the Head of the Graduate Research School, in consultation with the relevant Head of School, will complete the PGR 4A [Nomination of Examiners] form. In such cases, two external examiners, of suitable academic and/or professional standing and meeting the criteria as described in step 1 of section 4.9 of the regulations, will be nominated and the Graduate Research School Board approves such requests on behalf of the University Programme Board.

Step 3: Examination
An examination may not proceed until approval from the Graduate Research School Board has been received.

For all candidates for the PgDip (Res) award, the examiners normally examine the thesis only. After the PgDip (Res) thesis has been examined, the examiners may decide that a *viva voce* examination is required. In the case of an MPhil or PhD or DMus candidate a *viva voce* is always required.

An independent chairperson is nominated by the Graduate Research School Office from a pool of senior staff who have obtained the license to chair research examinations.
The Chairperson should:
- Be a full-time member of staff of TU Dublin;
- Have obtained the license to chair research examinations;
- Ideally have a qualification of at least the level sought by the candidate and/or have experience of successfully supervising graduate research students to a postgraduate award of this level and/or have experience of examining at this level.

The Chairperson's role is to manage and preside over the oral examination, ensuring that the regulations are followed and that the PGR 4C [Examination Report] is completed and sent to the Graduate Research

School Office. The Chairperson should also provide advice on the regulations to the examiners and student when necessary. The independent Chairperson shall not have any role in determining the result.

The Graduate Research School Office arranges the date and venue for the *viva voce* examination, in consultation with the Chairperson and the examiners and notifies the student accordingly. Normally all *viva voce* examinations take place on campus. The External Examiner may, however, request to hold the examination online, using the University's approved system. In such cases, all other participants, including the Chairperson, the internal examiner, the student and the supervisor(s), if invited, must be present at the on-campus venue.

A preparatory meeting should be held prior to the *viva voce* and should allow sufficient time to
- Agree the approach of the *viva voce* examination – the content and conduct
- Review the written preliminary reports
- Agree the management of post-*viva voce* examination paper work.

Present at the *viva voce*, are the chairperson, the two examiners and the student. With the agreement of the examiners and the candidate, supervisors may attend the *viva voce* examination, but cannot intervene at any stage unless asked by the examiners to provide clarification. Supervisors do not participate in the final decision and should leave the room while such deliberations take place.

The *viva voce* examination is conducted in private session and should include a short presentation (max. 15 minutes) of the student's work. A systematic interview of the student by the two examiners will then be conducted. The *viva voce* is meant to ensure that the candidate meets the criteria for the award being sought. The *viva voce* examination and all documentation should normally be completed within 1 to 2 hours.

A DMus examination must include a substantial live performance element and the format will be dictated by the individual research project. The two examiners and chairperson must be in attendance and normally the live performance will not exceed 90 minutes in duration and will be followed by the systematic interview of the student by the two examiners, in private session.

Step 4: Results of Examination
The PGR 4C [*Examination Report*] must be typewritten and completed immediately following the *viva voce.* If corrections are required to the thesis a precise typewritten list must be provided and attached to form PGR 4C. The Chairperson will return the completed form to the Graduate Research School Office. This report covers both the thesis and oral examination and concludes with a recommendation from the examiners.

The examiners may make one of the following recommendations:
1. The award is recommended with no corrections required in the thesis;
2. The award is recommended subject to minor corrections to the thesis;
3. The award is not recommended but following major corrections the thesis may be re-submitted for re-examination;
4. The award is not recommended but the candidate is recommended for a lower award;
5. No award be made;
6. No award be made but a revised thesis may be submitted for examination for a higher award;
7. Permission be given to the candidate to withdraw the thesis without penalty.

The Chairperson will, immediately after the examination, verbally notify the student of the recommendation of the examination panel (which is subject to approval by the Graduate Research School Board.

Where the two examiners are incapable of reaching an agreed decision following examination, a third, independent examiner will be nominated by the Head of the Graduate Research School. The nomination will be considered and approved by the Graduate Research School Board, on behalf of the University Programme Board. In order to ensure fairness to the student this third examiner will be independent of and have had no role in the first examination. The third examiner will be provided with a copy of the report from the first examination and can elect to examine the thesis or the student or both. The recommendation of the third examiner in respect of the award will be final.

Where a student elects to submit their thesis without their supervisors' consent and In the event of Recommendation Number 2, the student alone will be required to make the recommended minor corrections to the thesis and to submit the corrected thesis to the Graduate Research School Office who will forward it to the internal examiner.

Where a student elects to submit their thesis without their supervisors' consent, and in the event of Recommendations Numbers 3, 4 and 5, the Head of School in which the student is registered will be asked to make alternative supervision arrangements.

The Graduate Research School Board shall consider the recommendation taking account of the views of the examination panel and the Graduate Research School Office will provide written notification of the decision to the student.

Step 5: Thesis Corrections
A very small number of minor typographical and/or grammatical errors and/or minor formatting errors which can be corrected within a 3 day period do not constitute minor or major corrections. In such cases, the award can be recommended with no corrections to the thesis if the student assures the panel they will make the corrections prior to submission of the final thesis.

Minor corrections may take up to 3 months for full-time students to rectify. For part-time students, such corrections may take up to 6 months to rectify. They can be defined as a significant number of typographical and/or grammatical errors or minor formatting errors. Minor corrections may also include other changes to the thesis but do not require any additional significant research to be carried out.

Major corrections may take up to 1 year to complete and re-submission and re-examination of the thesis are required. Major corrections may involve additional research to be carried out and/or a major re-write of parts or all of the thesis.

The typewritten list of the precise corrections is given to the student and the internal examiner by the Chairperson immediately following the examination. The Graduate Research School Office will provide written notification of the result. Additional corrections or new issues cannot be raised by either examiner after the examination.

On completion of the recommended minor corrections, the student submits the corrected thesis in electronic format to the Graduate Research School Office who will forward it to the internal examiner. As with the initial submission of the thesis for examination, students are advised not to submit their corrected work unless it has been reviewed by the supervisors. Within 2 weeks of receiving the corrected thesis, the internal examiner will confirm that all the recommended corrections and revisions have been adequately

incorporated by signing the appropriate part of the PGR 4C [*Examination Report*], and returning it to the Graduate Research School Office. If the internal examiner confirms that the recommended corrections have not been made to the thesis, then the student is permitted one final submission of the suitably corrected thesis. Additional corrections or new issues cannot be raised by the internal examiner at this stage of the process, after the examination. The Internal examiner is obliged to liaise with the External Examiner in cases of any situation that puts the candidate in peril. If the second and final submission of the corrected thesis is not approved by the internal examiner, then the award is not recommended.

On completion of the recommended major corrections, the student submits the corrected thesis in electronic format to the Graduate Research School Office. As with the initial submission of the thesis for examination, students are advised not to submit their corrected work unless it has been reviewed by the supervisors. The Graduate Research School Office will ensure that the thesis and all documentation are sent to both examiners within the first week following the re-submission. The internal and external examiners will ensure they complete the examination of the work within the five week period following re-submission of the thesis. If required by the examiners, a second *viva voce* is convened. Both examiners must confirm that all the recommended corrections and revisions have been adequately incorporated by signing the appropriate part of the PGR 4C [*Examination Report*], and returning it to the Graduate Research School Office. If they confirm that the recommended corrections have not been made to the thesis then the student is permitted one final submission of suitably corrected thesis. Additional corrections or new issues cannot be raised by either examiner at this stage of the process, after the examination. If the second and final submission of the corrected thesis is not approved by the both examiners, then no award is made.

If at any stage following the first examination, any of the original examination panel is not available, for any reason, for a *viva voce* and/or thesis re-examination, then replacement examiners will be nominated and appointed following the procedure given in section 4.9 step 1 above. The replacement examiners will be provided with the report from the first examination.

Step 6: Awards
The Graduate Research School Office forwards the final recommendation of the examination panel to the Graduate Research School Board and to the University Programme Board for approval. The decision of the University Programme Board l is final, and confirms the result of the examination. The Graduate Research School Office will communicate the final result to the student and supervisor.

The student submits the final thesis in electronic format to the Graduate Research School Office. Theses for which there is restricted access (see section 4.8) should be submitted to the Graduate Research School Office clearly marked "restricted access". It is the responsibility of the supervisor(s) to clearly highlight IP issues related to the content of the thesis.

The electronic version of a thesis for public access will be lodged on Arrow, the TU Dublin Research Repository which can be accessed at https://arrow.tudublin.ie/

The relevant Examinations Office will notify the student and supervisor of details of the graduation ceremony.

4.10 Examination Appeals
Appeals against the recommendations of an examination panel or the decision of Academic Council shall be made in accordance with the appeals procedure set out in Appendix 2

CHAPTER 5

Regulations for the Award of PhD

based on Prior Publications

These regulations for the award of PhD based on Prior Publications mirror closely those described already in chapters 1 to 4, thus ensuring the same high quality, of research degree award.

The award of PhD based on prior publication allows people who have not followed the traditional academic route towards a PhD to obtain academic recognition for having, through the course of their career, undertaken and produced a coherent body of research to doctoral level. For example this may include people in practice-based disciplines. The PhD based on prior publication differs from the traditional PhD in that it is normally based upon *research already undertaken before registration* for the PhD.

This research has normally already led to a number of publications with a coherent thematic focus or a body of publicly-accessible creative outputs. These publications or creative outputs should not include publications or works that were derived from research already submitted for any other degree.

The applicant would also have already developed research skills prior to registration which would be demonstrable through the research publications/outputs. The research skills obtained are therefore recognised and evaluated in retrospect and would be expected to be equivalent to those of a traditional PhD student at the thesis submission stage.

5.1 Eligibility Criteria for Registration

In order to be eligible for registration for a PhD based on Prior Publications the candidate will normally have:
- at least a 2.1 honours degree (level 8) or equivalent
- between 3 and 10 peer-reviewed publications which demonstrate the candidate's original contribution to knowledge.

Prior publications may include peer-reviewed:
- papers,
- books or book chapters,
- book chapters in edited collections,
- monographs,
- scholarly editions of a text,
- technical reports,
- architectural-type outputs,
- creative works including performances, exhibitions, compositions and curatorial events.
- and/or other artefacts.

All publications must be already published or have completed review and have proof of the publication date, at the time of application. Publications that are undergoing peer-review or may be at a future date from current research are ineligible.

Different chapters from the same book are considered as one publication.

Self-authored works with no peer-review, written or practice-based, are ineligible for submission.

The final thesis based on these publications must be of a standard equivalent to that of a traditional PhD and as described in Section 4.3.1.

5.2 Preliminary Application

The candidate should first make contact with a potential supervisor. An experienced PhD supervisor, as described in Chapter 1, is appointed by the Head of School to
- Guide the candidate in the selection of publications for inclusion in the thesis for submission;
- Support and advise on the development of the critical supporting documentation;
- Guide the candidate in relation to the coherence of the body of work to be included in the thesis;
- Advise the candidate in relation to any research training they may require.

Together the candidate and the potential supervisor should prepare the preliminary application,

The candidate should submit an electronic copy, in one pdf file, of the preliminary application to the relevant Head of Research. The pdf file must include:
- The PGR 1B [Application for PhD from Prior Publications] form, with Parts A, B1 and B2 completed;
- 3 relevant examples of publications, or any other items which are likely to be included in the final submission for the PhD based on Prior Publications.
- All publications must have been submitted for peer review and the review process should be detailed or evidenced in the application.
- If ethical approval for the work was obtained from another institution, a copy of that approval should be included in the preliminary application.

5.3 The Preliminary Evaluation

The Head of Research will nominate one internal reviewer, and one external reviewer from a list of previously approved external examiners provided by the Graduate Research School Office. If, from the list provided, a suitable external examiner is not available, then the Head of Research can nominate an external examiner in consultation with the Head of School. The relevant Academic Board will approve the nominations.

The relevant Head of Research forwards all approved nominations (Form PGR 1B [*Application to PhD from Prior Publications*] with Parts A and B1 and B2 completed) to the Graduate Research School Office. The Graduate Research School Board considers the nominations and has final approval of such requests having taken account of the views of the relevant Academic Board. Once the nominations have been approved, the relevant Head of Research forwards the preliminary application, together with the evaluation form (Part C of Form PGR 1B) to the external reviewer.

The external reviewer will consider
- The quality and coherence of the publications to be submitted for examination for a PhD based on Prior Publications;
- The likelihood of the proposed submission meeting the criteria for the award of a PhD;

The external reviewer will complete the evaluation and return it to the relevant Head of Research with one of the following recommendations; that the candidate
1. Be permitted to register for a PhD based on Prior Publications;
2. Not be permitted to register for a PhD based on Prior Publications;
3. Be advised on the nature of publications which might, at a future date, permit them to register for a PhD based on Prior Publications.

The relevant Head of Research will co-ordinate a meeting of the evaluation panel and will forward all documentation to the panel.

The evaluation panel comprises

- The relevant Faculty Dean or nominee
- The relevant Head of Research
- The external reviewer
- The Internal reviewer
- The lead supervisor

The panel will consider

o The report and recommendations from the external reviewer
o The quality and coherence of the publications to be submitted for examination for a PhD based on Prior Publications;
o The likelihood of the proposed submission meeting the criteria for the award of a PhD;
o If provision can be made for adequate supervision.

The panel may make one of the following recommendations to the Graduate Research School Board; that the candidate

1. Be permitted to register for a PhD based on Prior Publications;
2. Not be permitted to register for a PhD based on Prior Publications;
3. Be advised on the nature of publications which might, at a future date, permit them to register for a PhD based on Prior Publications.

The relevant Head of Research will send the completed PGR 1B to the Graduate Research School Office.

5.4 Registration

Applicants passing this preliminary stage will be registered for a PhD based on Prior Publications. A part-time fee will apply to their registration. The normal duration of registration of part-time study leading to submission of a PhD based on Prior Publications will be a maximum of 2 years from first registration.

Students registered for the PhD based on prior publications are exempt from the training elements and confirmation processes of the PhD programme. However, training in Research Integrity is mandatory for all research students, including those registered for the PhD based on prior publications. At the end of year 1, the candidate should submit a thesis for examination or undertake an annual evaluation.

If ethical approval for the work was not obtained prior to registration then, within the first six months of registration, the lead supervisor must receive approval from the TU Dublin Research Integrity and Ethics Committee at research.ethics@tudublin.ie This is compulsory for all research projects in TU Dublin.

5.5 Thesis Format

The general format for all theses is given previously in Chapter 4. In the case of a PhD based on Prior Publications, the thesis must be of a standard equivalent to that of a traditional PhD in the relevant academic area and demonstrate the candidate's original contribution to knowledge. The structure of a thesis will depend on the discipline area and supervisors will advise students on a recommended structure. The layout of a thesis for a PhD based on Prior Publications would be as follows:

- Initial pages as per sections 4.4.2.1 to 4.4.2.7 above;

- The first chapter presents a supporting and overarching document, which draws the publications together and critically appraises them. The overarching critical document, of (30,000 word-limit), should set the published work in the context of existing literature, critically describe the candidate's research methodology and evaluate the contribution that the research in the publications makes to the advancement of the discipline area. It should draw out and stress the coherence of these publications, linking them to the methodology adopted;
- Each publication should be presented in the format recommended in section 4.4 above and a separate chapter should be used for each publication. The number of publications will depend on both the academic area and the type of publication included in the thesis, but there should normally be between three and ten peer-reviewed publications included

The publications included should normally involve work published in the 15 years before the date of submission. These publications should not have been used in submission for another award from TU Dublin or any other higher education institution.

Where a candidate includes jointly-authored publications in their thesis, they should provide a statement declaring the extent to which each publication is their own work and this should be certified by all authors concerned. This statement should also include confirmation that there are no intellectual property issues. This statement should be bound within the thesis.

5.6 Thesis Submission and Examination

The process involved in submitting and examining the thesis is set out in chapter 4 of this document.

CHAPTER 6

Changes in the Research Programme

6.1 Changes in the Registration Status

At any time during the period of the research, changes may need to be made to the status of the student's registration. For example, students may need a leave of absence due to illness. The following changes to the research programme may be made by completion of Form PGR 5B [*Changes in Registration Status*]. This form should be signed by the student and co-signed by the supervisor(s), Head of School and Faculty Head of Research. The completed form should be submitted to the Graduate Research School Office, who will process the proposed change in registration. The Graduate Research School Office should be informed immediately of any problem with the registration status. Only in very exceptional circumstances will changes in registration be processed retrospectively.

Changes to the research programme include:
- Leave of absence
- Change from full-time to part-time and *vice versa*
- Change in residency
- Withdrawal
- Transfer to a lower register
- Change of contact details

6.1.1 Leave of Absence

It may be necessary for a student to take a leave of absence, e.g. due to illness or maternity leave. For periods of leave in excess of 1 month, students will not receive any scholarship. Students should complete PGR 5B and should attach any supporting documentation e.g. medical certificates. A leave of absence may only be taken for the reasons shown in table 1 and the maximum duration of leave in each case is also shown. No other reasons for leave or extension of leave in excess of the maximum allowed will be considered. An explanation of each leave type is given below.

Table 1 Type and Duration of Leave of Absence

Type of Leave	Objective	Maximum Duration
Adoptive	For any student adopting a child.	6 months
Carer	For the purpose of the provision of full-time care and attention to a person requiring it certified by a qualified medical doctor.	12 months
Compassionate	Necessitated by the serious illness or death of an immediate family.	2 week (Ireland-based family) 4 weeks (Europe-based family) 8 weeks (all other regions)
Family Emergency	For urgent family reasons, owing to the illness or injury of a close family member. Routine minor and predictable illnesses to children, or other family members which invariably occur are not covered. A close relative is defined as one of the following; children or adopted children; spouses or partners/civil partners; siblings; parents; grandparents;	2 week (Ireland-based family) 4 weeks (Europe-based family) 6 weeks (all other regions)
Marriage or Civil Partnership	For students getting married or entering a civil partnership	2 weeks (Ireland-based family) 3 weeks (Europe-based family) 4 weeks (all other regions)
Maternity	For all pregnant students	6 months
Parental	To enable students to take care of young children	4 months
Health and Welfare	For certified medical reasons and convalescence,	>3 consecutive weeks to a maximum of 12 months over 4 years
Work Commitments	For part-time students to allow for work commitments	Maximum of 6 months in a given year

6.1.2 Study Mode Change from Part-Time to Full-Time or Vice Versa

Students may apply to change their mode of study from part-time to full-time or vice versa. Such cases are not new registrations. Students will be expected to submit their thesis on time and the change in registration status will not be back-dated. Students should complete PGR 5B.

6.1.3 Withdrawal from the Research Programme

At any time during the period of their research, students may choose to withdraw from their research programme and should complete PGR 5B in order to do so.

6.1.4 Transfer to a Lower Register

At any time during the period of their research, students may choose to transfer to a lower register and should complete PGR 5B in order to do so. Students will be expected to submit their thesis on time and the change in registration status will not be back-dated.

6.2 Changes to Supervision

At any time during the period of the research, changes may need to be made to the supervision. The need for such changes may arise for a number of reasons, such as retirement. In most cases the student and original supervisor will be expected to work together to agree a suitable substitution.

It is the responsibility of all Heads of School to ensure that graduate students in their school are supervised, as per section 1.7 above.

Changes to supervision include:
- New additional supervisor
- Change of school
- Withdrawal of supervision
- Replacement supervision

6.2 1 New additional supervisor

For any number of reasons, new additional supervisors may need to be appointed, e.g. a new supervisor may be needed to provide additional expertise. The student and the original lead supervisor should complete the PGR 5C form and submit to the relevant Head of School for approval.

6.2.2 Change of school

At any time during the period of the research, the student may need to change their school of registration e.g. their lead supervisor may change school and the student follows. The student and the original lead supervisor should complete PGR 5C and in such cases the heads of both schools will need to approve the change.

6.2.3 Withdrawal of supervision

The relevant Academic Board can withdraw the right to supervision in the case of a student who neglects his/her obligations or who does not follow consistently and effectively the advice of their supervisor(s). Such issues should be addressed through the annual monitoring process and the assessment panel includes the lead supervisor, Head of relevant School (or nominee) and relevant Head of Research. Having found that student has neglected his/her obligations or has not followed consistently and effectively the advice of their supervisor, the panel should recommend discontinuation of the student on the programme. The panel will convey its decision using form PGR 2D [Assessment of Annual Progress], returning it to the Graduate Research School Office, and should make the following recommendation 'Research and progress unsatisfactory, discontinue.'

6.2.4 Replacement supervision

At any time during the period of the research, the original supervisor(s) may need to be replaced. This may be necessitated for any number of reasons, which include, but are not limited to, the following:

- The original supervisor may no longer be available due to retirement, illness or death
- The original supervisor may leave TU Dublin and the student does not follow
- There may be a breakdown in communication and the student and supervisor may not be in a position to work together
- The Head of School determines that the original supervisor has neglected his/her obligations

At any time during the period of the research, the student and/or the original supervisor may request replacement supervision by application to the Head of School using the PGR 5C form. The relevant Head of School proposes replacement supervision and should complete form PGR 5C. All completed PGR 5C form should be forwarded to the relevant Head of Research for Academic Board approval.

Circumstances may arise where neither the student nor the original supervisor complete form PGR 5C, but changes in supervision are considered necessary by the Head of School and/or the Head of the Graduate Research School. In such cases, the Head of School and/or the Head of the Graduate Research School may appoint such new supervisors as s/he considers necessary, having regard to all the circumstances. All completed PGR 5C form should be forwarded to the relevant Head of Research for Academic Board approval.

6.3 Duration of Study

The maximum duration of study for a PhD graduate research student is 4 years full-time or 6 years part-time.

The maximum duration of study for a DMus graduate research student is 4 years full-time or 6 years part-time.

The maximum duration of study for a Professional Doctorate graduate research student is normally 4 years part-time.

The maximum duration of study for a MPhil graduate research student is 2 years full-time or 3 years part-time.

The maximum duration of study for a PgDip(Res) graduate research student is 1 year full-time or 2 years part-time.

The maximum duration of study starts from the date of first registration and the official date of submission of a thesis is the date the thesis is received by the Graduate Research School Office. The student must be properly registered and all fees paid at the time of submission.

All students are given a grace period of 6 months, during which their thesis must be submitted to the Graduate Research School Office.

If a student cannot submit their thesis before or within 6 months of their finish date they can withdraw from their programme and re-register when they are in a position to submit their thesis. In this case the student can proceed to examination on payment of the re-registration fee. During the withdrawal period, the student will not have access to facilities and resources including supervision.

Alternatively, if a student cannot submit their thesis before or within 6 months of their finish date, they can continue as a registered student for 1 year only, on payment of the supervision fee.

In both cases, there will be no additional scholarship funding. Students should inform the Graduate Research School Office of their decision by completion of form PGR 5B.

CHAPTER 7

Student Grievance Procedure

7.1 Introduction

This procedure provides an opportunity for a student to resolve his/her grievance within TU Dublin. It should be recognised that the majority of grievances should be resolved as near to their source as possible. It is for this reason that the Student Grievance Procedure provides for a number of stages, both informal and formal in the handling of a grievance. The purpose of the procedure is to ensure that grievances are resolved amicably. It is expected that the majority of grievances will be resolved at the informal stage of the process. The Student Grievance Procedure does not cover

- Allegations of bullying and harassment
- Appeals against a decision in respect of withdrawal, transfer, annual evaluation, confirmation of PhD registration, recommendations of module and progression and examination boards or decisions of Academic Council.
- Disciplinary procedures
- Students' Union procedures
- Allegations of personal misconduct against a member of staff
- Anonymous grievances or grievances raised on behalf of an anonymous party (Action cannot be taken on these grievances).

Separate procedures exist in respect of the above and details of these are available on request from the Graduate Research School Office and the TU Dublin Students' Union. Any difficulties that staff members may have with students should be addressed through the student disciplinary procedures.

Grievances will be treated seriously and constructively at all stages of the Student Grievance Procedure.

Grievances will be dealt with fairly and consistently and with due regard to the University's equal opportunities policy. If a grievance is upheld, appropriate remedial action will be implemented. If a grievance is not upheld, the reason(s) for the decision will be communicated to the grievant. The University will seek to ensure that student grievances are addressed promptly within the specified timescales outlined in this procedure. If a timescale for addressing a grievance is not achievable at any stage in the procedure, then the grievant shall be notified in writing and provided with an explanation for any delay.

Students will have a full opportunity to raise grievances on an individual or collective basis without fear of disadvantage or recrimination.

Privacy and confidentiality will be respected, both for grievants and respondents. However, it may be necessary to disclose information to others in order to deal with the grievance and in these circumstances the parties concerned will be informed of such disclosure. A grievant and respondent are both entitled to be accompanied at all stages of the Student Grievance Procedure by a friend or colleague. Before pursuing to the official grievance process, the student is encouraged to talk to their students' union representative.

7.2 The Student Grievance Process

Step 1: Informal Grievance
It is expected that the majority of grievances can be resolved at this stage through the grievant first raising their grievance with the individual who is the subject of the grievance. This could be done by

- Telephoning the appropriate member of staff to discuss the grievance;
- Making an appointment to see the appropriate member of staff to discuss the grievance;
- Writing to the appropriate member of staff to outline the grievance.

It is recognised that there may be circumstances in which the grievant considers they cannot approach the individual concerned. In this case the grievant may go to a senior member of staff within the Faculty or service concerned to informally discuss the grievance.

The grievance should be raised as soon as possible, normally within five working days of the incident that prompted the grievance.

When the student meets with the individual, who is the subject of the grievance or with a senior member of staff, with a view to resolving the matter, the meeting should be under mutually agreed conditions, with or without friends/colleagues or witnesses present. In outlining their grievance, the grievant should briefly describe the incident that prompted the grievance citing the time and date of incident(s) where applicable. It is also necessary for the grievant to clearly outline/explain the outcome that is expected.

Step 2: Formal Grievance – Initial Investigation

If the grievant is unable to resolve the issue at the informal stage, they should submit a 'Student Grievance Form' [PGR 5D], to the Dean responsible for the area that is the source of the grievance.

On the PGR 5D form [*Student Grievance*], students shall be required to briefly outline their grievance and to include dates, times, the nature of the incident(s) and the individual(s) involved. The student will also need to state the outcome they are hoping to achieve and to describe any attempts at informal resolution of the grievance, if appropriate. The PGR 5D form should normally be submitted within 15 working days of the occurrence of the incident that prompted the grievance. The form shall be signed and dated by the student. The timing of the submission of the PGR 5D form will naturally be affected by the attempts at informal resolution of the grievance at Step 1 of the process, if appropriate.

The Dean shall acknowledge receipt of the PGR 5D form [*Student Grievance*] within 7 working days of receipt of the form and shall investigate the matter including consultation with the individual who is the subject of the grievance. As part of the investigation, the student may be asked to attend a meeting to discuss the grievance in greater detail. At such a meeting, the student shall be entitled to be accompanied by a friend or colleague. Following the conclusion of an investigation, a written response shall be sent to the student within 15 working days of receipt of the PGR 5D form.

Where the investigation is unable to be concluded within this timescale, the grievant shall be informed in writing of the revised timescale for receiving a response and the reason(s) for the delay. The Dean should endeavour to complete the process within three months. The action taken by the Dean at this stage of the process shall be recorded on the PGR 5D form. A copy of the form shall be appended to the written response sent to the student, the Faculty retaining the original for information and for the recording of grievances. If the grievance is not upheld, the reasons for this decision must be stated in the written response to the student and recorded on the form.

Step 3: Formal Grievance – Grievance Review Panel
If the grievant is still dissatisfied with the response from the initial investigation they can request that the grievance is considered by the Grievance Review Panel. The grievant should submit to the Head of the Graduate Research School details in writing of the reasons for wishing to take the grievance to the next stage. This should normally be done within ten working days of receipt of the response from stage 2. The

Head of the Graduate Research School will acknowledge receipt of the request and convene a meeting of the Grievance Review Panel normally within 15 working days of receipt of the request.

The Grievance Review Panel is appointed by the Head of the Graduate Research School and includes:

- A Dean from a Faculty not involved with the research programme, student or supervisor
- A Head of School from a School not involved with the research programme, student or supervisor
- The Head of the Graduate Research School or independent nominee

The Faculty Dean will chair the panel and the Head of the Graduate Research School will act as secretary to the panel.

The panel will have access to all prior correspondence and the results of the initial investigation. They will also normally wish to meet with all parties involved in the grievance in reaching their decision. All parties involved in the grievance have the right to be accompanied by another person at the hearing.

The grievant will normally receive written confirmation of the Panel's conclusions and any subsequent action that the University intends to take within 7 working days of the hearing. A written summary of the hearing will be kept with any other relevant paper in the Graduate Research School Office.

The decision of the Grievance Review Panel is the final stage of the grievance procedure.

CHAPTER 8

Collaborative Awards

8.1 Introduction

This chapter describes the quality assurance processes relating to visiting research students and National and transnational collaborative research programmes.

Collaborative programmes and awards may be known by other names at different institutions. For example, a dual award may also be known as a double award. It is therefore important to establish with potential partner institutions a common understanding of the terminology used. The following are the definitions used by Technological University Dublin (TU Dublin).

- A **Visiting Research Student** is normally registered for a higher degree at another HEI and visits TU Dublin for a defined period of time to carry out part of their research. Such students are supervised by one or more TU Dublin staff members for the duration of their visit but are not registered for an award from TU Dublin.
- A **Joint Research Programme** is a single integrated programme of research activities developed and offered jointly by different HEIs. Successful completion of a Joint Programme can lead to a single award, a joint award or multiple awards.
- A **Joint Research Award** is a single qualification awarded by two or more HEIs to those who successfully complete a Joint Programme.
- **Multiple Awards** are where two or more qualifications are awarded individually by each HEI to those who successfully complete a Joint Programme. Where two awards are made, this is referred to a "Double Award".

Dual Research Award**s** are not offered on the successful completion of a Joint Research Programme. A dual award refers to two qualifications awarded individually to those successfully completing two separate curricula, but there may be sharing of resources or modules across the individual programmes. Each HEI is responsible for its own programme and award. TU Dublin only allows joint or multiple, including double, research awards when the criteria specified in section 8.3 below are satisfied.

Clear agreement must be reached at an early stage on whether a joint or multiple award is proposed. While a joint or multiple doctoral award arrangement for an individual student is permitted, proposals must clearly demonstrate the strategic and academic value of the collaboration.

8.2 Visiting Research Students

Students, registered for a research degree at another HEI, wishing to visit Technological University Dublin for a defined period of time under the supervision of one or more TU Dublin staff members, must satisfy all of the following conditions:
- Be currently registered for a research degree award at a recognised third level institution
- Have secured supervision by one or more experienced research student supervisors at Technological University Dublin.

Interested candidates will complete a PGR 1D [Application for Visiting Postgraduate Research Students] form which must be approved by the relevant Head of School.

Ethical clearance may be required for the research activities carried out by the candidate during their period of visit. The successful candidate will be registered under a code specifically for visiting research students, which will be excluded from all HEA counting processes. The successful candidate will obtain a student card for the agreed period.

8.3 A Joint Research Programme

Supervisors, researchers and research groups at TU Dublin are encouraged to establish links with researchers at other universities. Students involved in these joint research activities can be registered for a single award, a joint award or multiple awards. If registered for a single award from one university only, the student must follow the regulations of their home university, but may spend time in the partner university as a visiting research student.

8.4 Criteria to Establish Joint or Multiple Research Awards

Proposals for joint or multiple research awards must clearly demonstrate they meet all of the following criteria:

- TU Dublin will only consider proposals for joint or multiple doctoral awards where evidence is provided that the proposed partners are leading research universities. Such evidence can include, but is not limited to, track-record of research student completions, track-record of peer-reviewed publications, research strategy, position on university ranking system such as QS, THE or U-Multirank.
- The proposed partner institution has the legal right and capacity to make joint or multiple awards
- The proposed research programme must be in an area of disciplinary excellence or build on a strong established research link.
- A proposal for a joint or multiple doctoral award must have the full support of the relevant Academic Board.
- A proposal for a joint or multiple doctoral award must demonstrate that it meets at least 3 of the following criteria:
  - o It offers long-term strategic benefits for TU Dublin through increased student recruitment, increased income, access to new resources and sources of funding, opportunities for academic exchange etc;
  - o It will help to raise the global brand and reputation of TU Dublin;
  - o It will deepen an existing research relationship and has the potential to involve more than one discipline;
  - o It involves cohorts of students rather than a single individual.
- A proposal for a joint or multiple doctoral award must demonstrate that it is aligned to Ireland's 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.
- A proposal must identify the lead university, taking account of the research topic, supervision expertise and resources. Normally students will spend the majority of their time at the lead university;
- The requirements for the training of research students are met by the proposed programme of study.

8.5 Procedure for the Approval of Joint or Multiple Research Awards

If the proposal for a joint or multiple award relates to a bid for an externally-funded Doctoral Training Centre/Partnership, the Graduate Research School Office should be notified at the earliest possible opportunity in order to coordinate arrangements for approval of the proposal for the joint or multiple award. Externally-funded programmes can include, but are not limited to, Science Foundation Ireland's CRTs and European Joint Doctorate bids under Marie Sklodowska-Curie Actions. Approval must be confirmed before the bid issubmitted.

In all cases, the procedure for the approval of joint or multiple research awards is as follows:

Step 1:
The proposer should contact the Graduate Research School Office, for initial advice and guidance about the approval process and the regulatory framework and, where appropriate, also contact the International Office for advice on the standing ofa prospective overseas partner;

Step 2:
The proposer should complete the PGR 1E form (Proposal for Joint and Multiple Research Awards). In addition all proposals should include statements of:
- commitment from the partner institution including:
    - *confirmation of its legal right and capacity to make joint or multiple awards*;
    - *information on its Quality Assurance Framework and any legal requirements*
- support from the relevant TU Dublin Academic Board.

Step 3:
The proposer should submit their case to the Graduate Research School Board for approval. The Graduate Research School Board will establish a panel to review the application and the panel may need to meet with partner representatives to discuss the proposed programme of study. The panel will include at least one nomination each from the Graduate Research School Board, the Office of the Vice President for Partnerships and the International Office.

Step 4:
Following approval from the Board, the Graduate Research School Office, liaising with the proposer and the partner institution, will coordinate the development of a memorandum of agreement (MOA) for the recruitment, registration, training and annual monitoring, and the examination of research students registered for the joint or multiple award. The Graduate Research School Board will approve all such agreements, and will report to Academic Council. The draft MOA and details on the financial arrangements will also need to be submitted to Office of the Vice President for Partnerships, for noting.

8.6 Agreements for Joint or Multiple Research Awards

For all joint or multiple research awards, students will be registered by both universities and will be entitled to normal student rights and privileges.

Each university will be responsible for reporting student numbers and related information to relevant national agencies. (In counting students, 1 student = 0.5 FTE at each university) This reporting should adhere to relevant national data protection information and should acknowledge the joint nature of provision.

For all joint or multiple research awards, there must be a written agreement between Technological University Dublin and the other degree-awarding institution involved in the joint programme, which:

- Confirms that the partner institutions have the legal right and capacity to make joint or multiple awards
- Identifies the lead university, taking account of the research topic, supervision expertise and resources. Normally students will spend the majority of their time at the lead university;
- Presents the fees payable to each party;
- Sets out the requirements for
    - Admission including minimum language requirements (section 1.3 above)
    - Academic supervision at both partner institutions. There will be a minimum of two supervisors for each student, at least one supervisor from each institution. (section 1.7 above).
    - Training of each registered research student (sections 2.4 and 2.5 above).
    - Annual monitoring and progression (section 2.6 and 3.5 above).
    - Transfer and confirmation processes (sections 3.8, 3.9 and 3.10 above).
    - Submission of the thesis, which will normally be in the English or Irish language. (sections 4.3 to 4.8 inclusive above).
    - Examination of the thesis including a *viva voce* exam and two examiners, one from either of the two universities and one external to both universities (section 4.9 above).
    - The award(s) that will be made on successful completion of theprogramme;
    - The wording and production of the award certificate(s) and transcript;
    - Intellectual property rights resulting from the research.
    - Dispute resolution and student grievances and appeal.

The details of the admission, annual monitoring, transfer, confirmation and final examination processes must be specified in each agreement. These may be the regulations of one university or a combination of the approach of both institutions.

Each student registered on a programme of study leading to a joint or multiple award must abide by the regulations of the University where they are based.

CHAPTER 9

Professional Doctorate Awards

9.1 Introduction

This chapter describes the quality assurance processes relating to the establishment of new Professional Doctorate awards and builds on the **Framework for Professional Doctorates in TU Dublin.**

9.2 Definition and Conceptual Foundations

Professional Doctorates at TU Dublin are level 10 structured doctorate research awards, wherein the candidate makes a significant original contribution to practice in a professional context and to the academic discipline. The degree combines taught professional skills development and original research of publishable quality, which transforms and extends professional knowledge through practice, theory and research.

These awards recognise that high-level knowledge creation can occur not only through discipline-led theoretical advancement, but also through systematic, critical engagement with complex real-world professional challenges.

A Professional Doctorate is distinguished by its dual contribution. Candidates are required to make:
1. A significant original contribution to professional practice, demonstrated through the generation of practice-based knowledge that enhances, transforms, or critically reconfigures how professional work is understood and enacted within a defined context; and

2. A scholarly contribution to the relevant academic discipline, evidenced through rigorous theoretical framing, methodological integrity, and research outputs of publishable quality.

Central to this model is a clear distinction between discipline and practice. The academic discipline provides the theoretical foundations, conceptual frameworks, and research methodologies that ensure scholarly rigour and generalisability. Professional practice, by contrast, provides the context, problems, and sites of inquiry, where knowledge is applied, tested, and refined in response to real-world constraints and organisational or societal needs.

The research undertaken within a Professional Doctorate is expected to be problem-driven and practice-led, emerging from significant challenges within professional settings. However, it must also be theoretically informed and analytically robust, ensuring that findings extend beyond the immediate context and contribute to broader disciplinary debates. The outcomes of this research may include new models, frameworks, methodologies, or evidence-based practices that demonstrably enhance professional knowledge and inform future practice.

9.3 Regulatory Compliance

Professional Doctorates are Level 10 awards on Ireland's National Qualifications Framework.

Ireland's Framework of Good Practice (IFGP) for Research Degree Programmes (2019) categorises Professional Doctorates as research degree programmes.

Professional Doctorates must comply with the Statutory Quality Assurance Guidelines for Providers of Research Degree Programmes (2017) from Quality and Qualifications Ireland.

Professional Doctorates should align with the National Framework for Doctoral Education (2023) and Ireland's Framework of Good Practice (IFGP) for Research Degree Programmes (2019).

Professional Doctorates should operate within the current edition of the Graduate Research Regulations (GRR), which can be updated if required.

9.4 Criteria to Establish a Professional Doctorate Award

Proposals for new Professional Doctorate awards must address the requirements outlined in the Framework for Professional Doctorate in TU Dublin and must clearly demonstrate that they meet all of the following criteria:
- The proposed Professional Doctorate programme is in an area or areas of disciplinary excellence and is designed to advance problem-driven and practice-led research in professional contexts.
- The proposal for the Professional Doctorate award is fully supported by the relevant Faculty Board or equivalent.
- A thorough market analysis demonstrates:
  - A need for the proposed Professional Doctorate award and a gap in the Irish market;
  - The programme offers long-term strategic benefits for TU Dublin;
  - There is evidence to support a critical mass of applicants to ensure cohorts of students for at least the next 5 years and the financial sustainability of the programme.
- The requirements for the training of research students are met by the proposed programme of study.
- There are expertise and resources for the programme's professional skills development and supervision.
- There is a blended approach for delivery of the programme, with planned in-person on-campus and online experiences.
- The programme is comprehended to the current edition of the TU Dublin Graduate Research Regulations.
- The programme is aligned to Ireland's 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.

9.5 Guidelines to Establish a Professional Doctorate Award

The guidelines to establish, design, develop and implement a new Professional Doctorate award in TU Dublin are as follows:

Step 1: Advice
The proposer contacts the relevant Faculty Head of Research for initial advice and guidance.

Step 2: New Award Title Preliminary Proposal
The proposer completes the PGR 1F form (Preliminary Proposal to establish a new Professional Doctorate Award Title). In addition, all preliminary proposals must include a statement of support from the relevant Faculty or equivalent.

Step 3: New Award Title Preliminary Evaluation
The Graduate Research School Board (GRSB) considers the viability of the preliminary proposal, and how

it addresses the 'Criteria to Establish Professional Doctorate Award' and the 'TU Dublin Framework for Professional Doctorates in TU Dublin'.

The GRSB has final approval of such preliminary proposals taking account of the views of the relevant Faculty Board or equivalent.

Step 4: Preparation of Student Handbook
The proposer submits a Student Handbook for the new Professional Doctorate Award to the Graduate Research School Board, together with a statement of support from the relevant Faculty Board or equivalent.

Modules: For Professional Doctorates, all discipline, professional practice and research skills modules must be at NFQ level 9 or 10. All Professional Doctorate students must complete Module 1 Research Integrity delivered by the Graduate Research School. Remaining modules may draw upon Graduate Research School Modules 2-5 and from existing programmes, and new modules can be developed.

Any new module descriptors should be **input via the** Programme and Module Catalogue **(PMC) and comply with Quality Assurance and Enhancement requirements for** Designing and Teaching and Assessing a Module. New Module Codes should be requested from the Curriculum Management Team in advance of submitting the module for approval through the Module Code request form.

Step 5: Student Handbook Evaluation
The Graduate Research School Board (GRSB) will establish a panel to review the Student Handbook (including associated modules) for the new Professional Doctorate award, specifically on how it addresses the 'Criteria to Establish Professional Doctorate Awards' and 'TU Dublin Framework for Professional Doctorates in TU Dublin', and how it aligns with the current Graduate Research Regulations. The panel will include at least three GRSB members who are not members of the proposing School(s). The panel will meet with all Heads of School (or nominees) involved in the delivery of modules and supervision for the Professional Doctorate award to discuss the proposed programme of study. The GRSB has final approval taking account of the views of the Panel and the relevant Faculty Board or equivalent. The award will be subsequently noted at the University Programmes Board (UPB).

Step 6: Minor Changes to Graduate Research Regulations
The Graduate Research School Board will review any minor changes to the Graduate Research Regulations to incorporate the new Professional Doctorate award. Minor changes to the Graduate Research Regulations will be approved through the Academic Quality Assurance and Enhancement Sub-Committee (AQAEC) of Academic Council.

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 if 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;
- Participate in the assessment panel which formally reviews the annual report, attend the student's oral presentation and make an assessment report on the research and its progress, through completing form PGR 2C [*Supervisor Annual Progress Report*];
- Participate in the progression board to consider the decisions of the annual assessment panels in the Faculty;
- Participate in the transfer or confirmation examinations as appropriate
- 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]
- ==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.

APPENDIX 2

Re-check, Re-mark and Appeal Procedures

A2.1 Re-checks

A candidate wishing to have a module assessment re-checked should make a formal request using Form PGR 5E [*Request for Assessment Re-check*] which should be returned together with the requisite fee to the Graduate Research School Office within three working days of the date the results were issued.

The re-check process shall be carried out under the direction of the Head of the Graduate Research School, and shall normally involve establishing that all attempted parts of the assessment were marked, and that no computational error occurred during the marking process or the recording of the marks. It shall also involve establishing that all answers, part-answers and/or other assessment materials have been assessed.

Where the process gives rise to a change of mark, it shall be open to the Head of the Graduate Research School to require that a re-check be undertaken in respect of all assessments in the module concerned. Where this course of action is deemed appropriate, the Head of the Graduate Research School may nominate another examiner to carry out the re-check.

A2.2 Re-Marks

A candidate may seek a re-mark of a module assessment by submitting form PGR 5F [*Request for Assessment Re-mark*] together with the requisite fee to the Graduate Research School Office within five working days of the date the module results were issued or within two working days of the submission of the recheck application form.

The Head of the Graduate Research School will make the necessary arrangement for the re-marking of the assessment. In the event that the recheck gives rise to a change of mark, the Head of the Graduate Research School shall reconvene the relevant module and progression board.

A2.3 Appeals

A2.3.1 Grounds for Appeal
The appeals process provides for appeal by a student against decisions in respect of withdrawal, transfer, annual evaluation, confirmation for PhD/DMus registration, recommendations of module and progression and examination boards or decisions of Academic Council. Grounds for appeal are that:
1. the Graduate Research Regulations of the Universityhave not been properly implemented;
2. circumstances exist which may not have been specifically covered by the Graduate Research Regulations;
3. there is new, attested, documented and relevant information, that was not made available for justifiable reason, and therefore not considered when a decision relating to assessment, examination or withdrawal was made.

These are the only matters which may be appealed using this process.

A2.3.2 The Graduate Research Appeals Eligibility Group and Appeals Board
The Graduate Research Appeals Eligibility Sub-Group assess received from graduate research students and determine whether there are valid grounds for appeal. The Appeals Eligibility Sub-Group will comprise

three members of the Graduate Research Appeals Board including the Head of Graduate Research School as Chairperson and brings a recommendation in relation to the eligibility/ineligibility of the application to the Appeals Board.

The function of the Graduate Research Appeals Board shall be to adjudicate on an appeal and shall be composed of not more than five persons from the Graduate Research School Board, appointed by Academic Council. The Head of Graduate Research School will act as Chairperson and a Vice Chairperson shall be appointed from within the four other members of the Appeals Board. No member of staff who has previously been involved at any earlier stage of a particular appeal shall be entitled to attend.

The Appeals Board shall meet as necessary and shall hear the appeals presented to it for that occasion and make determination thereon. All necessary information shall be processed through the Graduate Research School Office and presented in writing to the Board for each hearing.

A2.3.3 The Appeals Procedure
Step 1:
An appeal must be lodged with the relevant Head of Research on the Appeals Form (PGR 5G [*Student Appeals Form*]) within seven working days of the publication of the relevant decision/recommendation i.e. withdrawal, transfer, annual evaluation, confirmation for PhD/DMus registration, recommendations of module and progression and examination boards or decisions of Academic Council. The application must be accompanied by the appropriate fee which shall be refunded if the appeal is successful.

Step 2:
The Head of Research shall be responsible for initiating the preparation of a written report from the relevant supervisor(s) and Head of School. The form together with the written reports and other documentation to accompany the appeal shall be referred to the Head of Graduate Research School within 10 working days, who shall have responsibility for presenting them to the appellant and Graduate Research Appeals Eligibility Sub- Group.

Step 3:
The Appeals Eligibility Sub-Group shall convene to determine whether there are valid grounds for appeal under the Graduate Research Regulations and shall bring a recommendation in relation to the eligibility/ineligibility of the application to the Appeals Board.

Step 4:
The Appeals Board shall meet to hear all eligible appeals and shall consider all evidence (oral and written) relevant to the appeals listed for hearing. The Appeals Board may, at its discretion consult other parties where this is considered appropriate. The student shall be entitled to make submissions on his or her behalf to the Appeals Board.

The Head of School or nominee, shall present the written report to the Appeals Board and respond to matters raised by the Board.

The appellant shall be invited to present the case in person to the Appeals Board and shall indicate on the form if she/he wishes to appear and/or be represented by a third party e.g. TU Dublin Students' Union.

The decisions of the Appeals Board meeting in private session shall normally be formulated by consensus.

Where the Board is divided, the outcome shall be decided by a majority decision. In the event of an equality of votes the Chairperson of the Board shall exercise a casting vote.

No change shall be made retrospectively in graduate research regulations for the particular issue involved in the appeal.

The Appeals Board shall notify in writing the appellant, the Chairperson of the Graduate Research School Board, the Faculty Dean, the Head of School and the Supervisor(s) of its decision as soon as possible.

The decisions of the Appeals Board(s) shall be final and binding on the University and the appellant.

APPENDIX 3

Breaches of Regulations

A3.1 General Principles

No student shall breach any of the regulations of the University and no student shall procure or attempt to procure such a breach, whether on her or his own behalf or by or on behalf of any other person.

Cheating, plagiarism, misrepresentation, bribery, falsification, personification and other forms of deception, including the possession of material in advance of an examination or assessment, whether carried out alone or with others are instances of unfair practice.

An enquiry into the circumstances relating to an allegation of breaches of the regulations shall be conducted using the current Student Disciplinary Procedures approved by Academic Council and available at https://www.tudublin.ie/media/website/explore/about-the-university/academic-affairs/documents/Student-Disciplinary-Procedures-V1.1.pdf